EDUCATION SECTOR ANALYSIS
METHODOLOGICAL GUIDELINES



VOLUME 3

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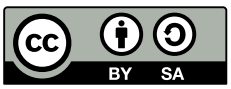
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Foreword

The COVID-19 pandemic has had an unprecedented effect on children's learning. At the peak of the crisis, 1.6 billion children were unable to go to school. The pandemic has also exacerbated existing disparities. The gap between those children who have access to technology and learning tools, and have educated parents, and those who do not has never been more apparent.

Before the worldwide lockdowns, we were already facing a global learning crisis. The global learning poverty rate is estimated at 48 percent: almost half of the world's children cannot read and understand a simple text by age 10. In low-income countries, this is particularly acute, with the learning poverty rate reaching 90 percent in some cases. At least 175 million pre-primary school aged children and 258 million primary and secondary school aged children (one in five) are out of school.

Learning is a basic human right – universal, inalienable and indivisible. It is also a key driver of other fundamental rights and freedoms, and has wide-ranging human, social, health and economic benefits. It reduces poverty, drives sustainable growth, prevents inequality and injustice, leads to better health – particularly for women and children – promotes stability and peace, protects the planet and helps build resilience for addressing crises.

Addressing learning poverty is an urgent need well reflected by Sustainable Development Goal 4 to "ensure inclusive and equitable quality education and promote lifelong learning opportunities for all". It is central in the UNESCO-coordinated Education 2030 Framework for Action, in UNICEF's Education Strategy 2019–2030 "Every Child Learns", in the Global Partnership for Education's Strategy, and in the UK Foreign, Commonwealth and Development Office's 2018 Education Policy.

In many countries, a combination of discrimination, social attitudes, lack of political will and of human and material resources and too frequent education system misalignment lead to significant compounding disparities against the most vulnerable girls and boys. In particular, children with disabilities are very often not visible and left outside schooling, while children in conflict-affected countries are 30 percent less likely to complete primary and 50 percent less likely to complete lower secondary than their peers in non-conflict areas.

Exacerbated by the COVID-19 pandemic, multiple education challenges stand out today as acute and urgent: i) the inclusiveness of education systems, in particular for children with disabilities; ii) learning during emergencies and crisis times, starting with analyzing risks and finding solutions for resilient education systems; iii) the institutional capacities to plan, deliver and monitor quality education; and iv) the alignment and related incentives of educations systems and stakeholders towards learning.

This third volume, with four chapters for system-wide diagnosis to be applied according to country context, aims to help meet these collective challenges and to build back with more inclusive, resilient and effective education systems.

The ability to create, harness and deploy data and evidence has never been more critical. It is our hope that this publication will contribute to strengthening national capacities in analyzing education systems and informing evidence-based education policies and solutions for children and adolescents, so essential in the post-COVID world.



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Acronyms and Abbreviations

CFM	Child functioning module
CRC	Convention on the Rights of the Child
CRPD	Convention on the Rights of Persons with Disabilities
DPO	Disabled persons organization
DRR	Disaster risk reduction
ECD	Early childhood development
EFA	Education for All
EiE	Education in emergencies
EMIS	Education management information system
ESA	Education sector analysis
ESP	Education sector plan
FCDO	UK Foreign, Commonwealth and Development Office
FGD	Focus group discussion
GDP	Gross domestic product
GES	Ghana Education Service
GPE	Global Partnership for Education
HNO	Humanitarian needs overview
IASC	Inter-agency standing committee
ICT	Information and communications technology
IDP	Internally displaced person
IIEP	International Institute for Educational Planning [UNESCO]
INGO	International nongovernmental organization (see NGO)
JSR	Joint sector review
KII	Key informant interview
KPI	Key performance indicators
LEG	Local education group
M&E	Monitoring and evaluation
MICS	Multiple indicator cluster survey

MoE	Ministry of education
NGO	Nongovernmental organization
OCHA	UN Office for the Coordination of Humanitarian Affairs
OECD/DAC	Organisation for Economic Co-Operation and Development / Development Assistance Committee
OOSC	Out-of-school children
PASEC	CONFEMEN Program for the Analysis of Education Systems
PBEA	Peacebuilding, Education and Advocacy (in Conflict-Affected Contexts)
PIRLS	Progress in International Literacy Study
PISA	Program for International Student Assessment
PTA	Parent-teacher association
RRP	Refugee Response Plan
SABER	Systems Approach for Better Education Results
SACMEQ	Southern and Eastern Africa Consortium for Monitoring Educational Quality
SDG	Sustainable development goal
SMC	School management committee
TEP	Transitional education plan
TIMSS	Trends in International Mathematics and Science Study
UIS	UNESCO Institute for Statistics
UN	United Nations
UNDRR	United Nations Office for Disaster Risk Reduction
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
USAID	United States Agency for International Development
WASH	Water, sanitation and hygiene
WG-SS	Washington Group Short Set

Introduction

BACKGROUND and RECOMMENDED USE

In 2014, UNICEF, IIEP-UNESCO, the World Bank and the Global Partnership for Education (GPE) jointly developed Volumes 1 and 2 of the Education Sector Analysis (ESA) guidelines, to support governments in the preparation of country-specific analyses aiming to inform education reforms within the preparation or revision of their education sector plans (ESP). These are divided into 10 chapters with the first volume covering six sector-wide chapters and the second volume covering four sub-sectors. The methodology described in the guidelines has been used in more than 70 countries, with about 130 country-specific reports completed. The number of countries covered has almost doubled during the last six years, with increased use in continents beyond sub-Saharan Africa, including Eastern Europe, Central, South and East Asia, and the Middle East and North Africa. To reflect this broad and diverse interest, these guidelines have been published in English, French, Portuguese, Russian and Spanish.

Based on the feedback received from governments and development partners' and in response to emerging education sector trends and changing contexts, this third volume covers the specific thematic areas of: i) inclusive education for children with disabilities; ii) risk in relation to education system's resilience, the relevance of which the COVID-19 crisis has clearly demonstrated; iii) effectiveness of the educational administration (institutional capacity); and iv) stakeholder mapping and alignment (political economy).

The primary audience and key users these guidelines are addressed to are Governments conducting education sector analysis and diagnostic, either as a periodic sector-wide exercise destined to inform policy-making and sector planning, or as focused stand-alone research required to address contextual issues. Frequent users include ministries of education, finance, planning, social affairs and labor, national statistical institutes, civil society bodies and representatives (NGOs, teacher and student unions, parent associations), research centers, and universities. They are also of value to the international development partners supporting Governments.

At country level, the modality and process for applying the methodologies from the guidelines is at least as important as the output reports. For the dual goal of maximizing chances of the use of the findings for policies and their implementation and of strengthening the analytical capacities within governments to enhance further autonomy, it is of utmost importance to ensure that the Government is in the lead of the process. Participatory, demand-driven approach for the selection of chapters and their preparation is proven to be much more effective than supply donor-driven approach. The chapters can be applied as stand-alone pieces of analysis or as part of a more comprehensive ESA for informing the development/ revision of an ESP. Producing analytical reports based on a single dimension/chapter of the three volumes of the guidelines may be an option in some cases. It is highly recommended that Government teams select the chapters and sections, "à la carte", that are most relevant to their context, policy issues, timeline, priorities, capacities and data constraints.

The approaches to analysis offered in this Volume will rely, to a greater extent than those used in Volumes 1 and 2, on participatory and qualitative research techniques. This is primarily due to the fact that the areas covered are less quantitative and/or less prone to being systematically and thoroughly addressed by existing national data collection exercises. Country teams may therefore design and conduct field surveys, organize national or community-level consultations, and hold key informant interviews and focus group discussions. The chapters in this volume provide guidance and tools for such research, including topic check lists, questionnaires, interview guides, stakeholder analysis sheets, consultation participant matrices, and discussion protocols.

OUTLINE AND CONTENT

This additional volume includes four chapters. As for the earlier volumes 1 and 2, each chapter starts with an overview that includes the objective, key policy issues to address, analytical methods and usual data sources, offers practical tools for data processing and analysis as well as qualitative tools, and is illustrated where possible with examples from existing ESA country reports, drawn from an increasingly diverse number of regions.

CHAPTER 11
INCLUSIVE EDUCATION FOR CHILDREN WITH DISABILITIES

Although the concept of inclusive education for children with disabilities has been promoted internationally for more than a decade, strong analyses to strengthen these policies have been hindered by the availability and use of reliable data. Developing plans that address inclusion has become a major need, and the recent improvement in the availability of statistics on children with disabilities, in particular thanks to household survey designs that screen children for various types of impairment and assess attitudes towards disability like Multiple Indicator Cluster Surveys (MICS), now provides the opportunity, in some countries, for a more systematic approach to harnessing and understanding the facts.

This chapter introduces an approach and provides tools to perform a diagnosis of an education system from an inclusive perspective, by reviewing disparities in access and learning for children with disabilities, the regulatory and policy framework, system capacity and management, supply, quality and demand issues, as well as cost and financing aspects. In order to provide a robust methodology for the analysis of this dimension, as well as illustrations of its application, the approaches shared in this chapter were piloted in Ghana and Vietnam in the course of its elaboration. This provided an excellent opportunity to test the methodology and to develop additional tools for analysis, with input from other government agencies, disabled people's organizations, civil society organizations, and non-governmental organizations, which are part of the chapter annex.

CHAPTER 12
RISK ANALYSIS FOR RESILIENT EDUCATION SYSTEMS

As education systems are increasingly placed under strain as a consequence of violent conflict, migration, environmental degradation, natural hazards and pandemics, the need for risk analysis facing the education system is increasingly critical. The guidelines capitalize on the lessons learned from countries where risk analysis was included in their sector analysis and planning. The chapter also used material from other recent initiatives, such as UNICEF's Peacebuilding, Education and Advocacy in Conflict-Affected Contexts (PBEA) program, IIEP-UNESCO's safety, resilience and social cohesion materials and from recent analytical work in relation to the impact of the COVID-19 on education.

This chapter provides guidance to conduct a hazard and conflict analysis of the education sector, covering the identification of prevalent risks, the constraints they pose on the ongoing delivery and development of education, the bi-directional relationship between risks and education, and the political, institutional and governance mechanisms that contribute to the education system vulnerability or resilience. It includes examples of multiple risks, including some related to COVID-19.

CHAPTER 13
FUNCTIONING AND EFFECTIVENESS OF THE EDUCATIONAL ADMINISTRATION (INSTITUTIONAL CAPACITY)

A better understanding of the institutional capacity is essential to understand past successes or failures in implementation and identify bottlenecks that should be considered in any new policy definition. Organizational "audits" may have a relatively similar purpose, but their recommendations often face strong internal resistance within ministries. Applying this chapter with a Government-led process could favor acceptance and use of the findings.

This chapter proposes a methodology and practical guidance on how to assess the functioning and effectiveness of an educational administration, with a particular focus on planning and management. It covers the public administration, organizational unit, and individual officer levels, as well as the relationship between national authorities and their partners, analyzing the areas of strategic planning, policy design and implementation, management of information systems, human resource management, and financial management.

CHAPTER 14
STAKEHOLDER MAPPING AND PROBLEM-DRIVEN ANALYSIS (POLITICAL ECONOMY/GOVERNANCE):

System alignment towards learning and related political economy/governance are increasingly recognized as key determinants of effective education service delivery but, compared to the other areas, and due to its relative complexity and stakeholder sensitivity, few methodologies exist for its analysis in the education sector. These guidelines offer a new approach that may overcome these obstacles, based on stakeholder mapping and a problem-driven approach of relationship management.

This chapter provides users with the key concepts, knowledge and tools needed to analyze the implications that stakeholder interests and relationships will have for attempts to solve specific problems in the education system. It goes beyond the usual process of diagnosing technical causes to examine the role of stakeholders, interests and deeper issues of institutional, social and historical dynamics. The methodologies proposed build on the related work from the World Bank (on governance and from the Systems Approach for Better Education Results (SABER) tools), FCDO (on problem-driven analysis) and from the RISE (Research for Improving Systems of Education) program (on system and stakeholders' alignment and incentives).



CHAPTER 11
INCLUSIVE EDUCATION FOR CHILDREN WITH DISABILITIES

Chapter objective

To understand, through a review of policies, resources, data and practices, how education systems meet the needs of children with disabilities, as an entry point to their transition towards more disability-inclusive approaches.

SECTION 1. **SYSTEM CAPACITY AND MANAGEMENT**

ISSUE

For education to be disability-inclusive, schools need to operate within a suitably enabling environment. Regulatory and institutional frameworks, data systems and financing models should clearly address and reflect the specific needs of children with disabilities.

OBJECTIVES

- Provide a detailed overview of the adequacy of the country's broader legislative and policy environment to support and promote education of children with disabilities
- Assess the relevance and effectiveness of existing structures, tools, capacities and action plans to support the implementation of disability-inclusive education
- Appraise the scope and quality of national data systems in relation to disability-inclusive education, and offer a detailed and disaggregated evidence basis for policy decisions
- Determine budgetary resources devoted to disability-inclusive education, and the gap with spending levels required to meet national standards and needs

METHODS

- Describe the legislative and regulatory framework for disability-inclusive education, charting laws and policies with the UNICEF scoring table, comparing them to a checklist of considerations and identifying bottlenecks to implementation
- Examine the institutions (ministries, departments and units) and coordination mechanisms for disability-inclusive education, as well as their effective capacity and relationships between them and with other education ministries
- Use the UNICEF *Guide for Including Disability in Education Management Information Systems* to assess data coverage of participation, capacities, attitudes, programs, learning environments and costs
- Identify disability-inclusive education funding sources, break down education expenditure to identify and extract inclusive items and compare their sum to total expenditure
- Cost disability-inclusive education as per national policies and standards on the basis of the unit cost of each requirement, including disability-inclusive education/children with disabilities in financial simulation models
- Conduct surveys or FGDs with key stakeholders to understand issues and challenges related to the sustainable funding of disability-inclusive education.

SOURCES

- National legislation, regulations, policies, frameworks, education sector plans
- Strategies and action plans on education of children with disabilities, SABER-Equity & Inclusion, government organizational charts, questionnaires/surveys on system capacity
- EMIS, school survey data, education HR and payroll data
- Detailed executed/actual budget data, consolidated school grant expense reports, development partners' program data, unit costs of disability-inclusive education expenditure items, such as early assessment, assistive devices, accessibility of facilities, sensitization, training, teaching and learning materials, etc.

SECTION 2. **PARTICIPATION OF CHILDREN WITH DISABILITIES IN EDUCATION**

ISSUE

Children with disabilities are particularly at risk of missing out on education, and those who are out of school are particularly prone to be poorly captured in databases and surveys. Estimating their number and defining their characteristics is key to effective policy development.

OBJECTIVES

- Quantify and describe the extent to which children with disabilities attend education, by type of disability, gender or other relevant characteristics, for different education cycles, including preprimary, primary and secondary education
- Determine where barriers to access and/or the identification of children with disabilities are more acute

METHODS

- Compute participation indicators (enrolment, survival, repetition, dropout) and schooling profiles for children with disabilities
- Compute and compare OOSC rates for children with and without disabilities
- Compare the disability prevalence rate in the general population to that of those children identified as having a disability in EMIS
- Conduct rapid surveys of school attendance of children with disabilities using toolkits on collecting data on disability in humanitarian settings
- Compare data on children with disabilities and their participation in education for different countries

SOURCES

- EMIS
- MICS, household surveys
- Learning assessments that include data on pupils' disability status
- ASER (Annual Status of Education Report) type citizen-led assessments
- Disability surveys
- Specific surveys to assess OOSC numbers for categories of children not covered by household surveys

SECTION 3. **SUPPLY-SIDE ISSUES – LEARNING ENVIRONMENT AND QUALITY**

ISSUE

An essential prerequisite for disability-inclusive education is that schools are prepared to welcome children with disabilities, in terms of infrastructure, learning materials, assistive devices, teacher training and support, the curriculum, and assessment systems.

OBJECTIVES

- Determine the nature and scale of potential supply-side barriers to the implementation of disability-inclusive education, including early disability assessment mechanisms, specific teacher training, infrastructure, transport to school, curricula and learning materials, aids and adaptations, integrated services for children with disabilities and partnerships with non-state actors for the provision of education services for children with disabilities

METHODS

- Assess the effectiveness of existing education system features, mechanisms, programs and resources for children with disabilities against provided checklists
- Examine supply-side blocks from the Framework for Disability-Inclusive Education
- Compile and review available quantitative and qualitative data
- Establish whether there is a blueprint for new schools to be built as accessible, and if it is used

SOURCES

- Framework for Disability-Inclusive Education
- Official records of relevant governmental and nongovernmental institutions dealing with children with disabilities, in the education and health sectors
- Curricula and teaching and learning materials
- Records of teacher training programs
- Disability surveys
- NGOs and DPOs
- Data on the school environment, through household surveys, censuses, EMIS

SECTION 4. **DEMAND-SIDE ISSUES**

ISSUE

Even if schools are prepared to welcome children with disabilities, several demand-side barriers may prevent them from enrolling or attending, such as the attitudes and beliefs of the local community, parents themselves, school staff or other pupils, and financial challenges.

OBJECTIVES

- Determine the main demand-side barriers to the implementation of disability-inclusive education, and potential existing measures or efforts to overcome them.

METHODS

- Examine demand-side blocks from the Framework for Disability-Inclusive Education
- Compile available information on attitudes (teachers/administrators; parents/ communities; pupils), including possible prejudice or stigma
- Compare survey responses on the reasons for not attending school, for children with and without disability
- Examine household costs associated with the education of children with disabilities
- Compare the wealth quintile of families with and without children with disabilities
- Discuss the additional costs of sending a child to school and purchasing any necessary special equipment with associations and parents of children with disabilities
- Review existing systems to address financial barriers for children with disabilities, including the waiving of school fees, bursaries, conditional cash transfers, etc.

SOURCES

- Framework for Disability-Inclusive Education
- Situational analysis and reports from NGOs and DPOs
- University research studies
- Existing knowledge, attitude and practice surveys, MICS, household surveys
- Specific rapid surveys or FGDs
- NGOs and DPOs

Introduction

Education is a fundamental human right and is indispensable for the achievement of sustainable development. It is a gateway to improved quality of life and increased economic, political and social opportunities. People with disabilities, however, have historically been excluded from educational opportunities. The importance of disability-inclusive education has therefore come to the forefront to ensure that those with disabilities are being provided the educational opportunities and skills needed to participate in social and economic development.

This chapter explores the need for a specific focus on disability-inclusive education and introduces a way to begin the transformation of education systems to make them more inclusive of children with disabilities. It does this by introducing a methodology to examine an education system through a disability-inclusive lens as well as offering tools to perform a comprehensive sector-wide diagnosis of the current education system by assessing different aspects from a disability-inclusive perspective.

Schools and other education-related bodies will struggle to be or become disability-inclusive if they do not operate within a suitably enabling environment. Section 1 therefore examines both regulatory and institutional frameworks in order to understand what structures are (or are not) in place to support prioritization and implementation of disability-inclusive education. Section 1 then looks at data systems, and in particular at the quality and availability of country data on children with disabilities, before exploring financing models, and where gaps in funding might be filled.

Section 2 focuses on the participation (or lack thereof) of children with disabilities, particularly in comparison to children without disabilities, looking at challenges in data collection, and a tendency to underestimate the true instance of OOSC with disabilities. The section then briefly discusses the state of access to early learning for children with disabilities – and the importance thereof for future cognitive and social development – while noting that the information on the availability of early learning for children with disabilities is limited.

Section 3 looks at supply-side issues related to the learning environment and its quality, in order to understand and analyze the multiple barriers that hamper access of children with disabilities to a quality education. The focus here is on disability-inclusive early learning programs, access to and within schools, and the teaching and learning environment. Section 4 then briefly examines demand-side issues, looking at attitudes and beliefs towards children with disabilities, as well as the (often exacerbated) financial challenges of families of children with disabilities, and how both these factors can affect educational access and opportunities for children with disabilities.

The chapter can be used as a guide to planning a disability-inclusive education sector analysis (ESA) or can be used used to incorporate disability-inclusive issues when using the ESA Methodological Guidelines Volume 1 (which looks at sector-wide analysis, with an emphasis on primary and secondary education). It can also be used as an information source about disability-inclusive education and aspects that need to be considered when planning for, analyzing, implementing or monitoring disability-inclusive education. It will help policymakers to answer the following questions:

- *Are children with disabilities included in the education system (and how)?*
- *Is the current education system promoting and supporting implementation of disability-inclusive education?*
- *What is disability-inclusive education and what does it mean for children with disabilities?*
- *What types of resources are being allocated and need to be allocated to enable implementation of disability-inclusive education?*

The approach outlined here was piloted in 2017 in Ghana, under the leadership of the Ministry of Education (MOE) and the Ghana Education Service (GES), with support from UNICEF and IIEP-UNESCO. An inter-organizational global team worked over a four-month period to examine three critical areas: (i) policy and system capacity to support and implement disability-inclusive education, (ii) data sources, and (iii) costing and financing of disability-inclusive education in Ghana. The exercise has contributed valuable material for and experience with this methodological approach, both by testing the methodology and by developing tools, many of which can be found in the chapter annexes.

While this chapter focuses on disability-inclusive education, it is important to keep in mind that many marginalized groups of children are excluded from educational opportunities. Indeed, exclusion often happens on the basis of gender, language, poverty, disability, ethnicity and more. Disability-inclusive education is thus one (crucial) facet within the broader concept of inclusive education, which is defined here in its broadest sense in line with the Cali Commitment to Inclusion and Equity in Education (UNESCO, 2019) as "a transformative process that ensures full participation and access to quality learning opportunities for all children, young people and adults, respecting and valuing diversity, and eliminating all forms of discrimination in and through education".

A Shift in Attitudes around Inclusive Education – and Disability-Inclusive Education in Particular

Recent decades have witnessed an attitudinal shift regarding persons with disabilities. Historically viewed as recipients of welfare, they are now recognized under international law as rights-holders, with the right to education without discrimination and on the basis of equal opportunities. Indeed, there is a growing number of international documents and agreements on inclusive education that focus on being disability-inclusive in particular (find an overview in Box 11.1). The United Nations Convention on the Rights of the Child (CRC, 1989), the World Declaration on Education for All (1990), the United Nations Standard Rules on the Equalization of Opportunities for Persons with Disabilities (1993), and the Salamanca Statement and Framework for Action on Special Needs Education (1994) all embody measures that testify to the growing awareness on the part of the international community of the need for a greater understanding of the rights of persons with disabilities to education.

Inclusive quality and equitable education has also been affirmed as a key goal in the 2030 Agenda for Sustainable Development, namely Goal 4. It is now part of a wider strategy promoting inclusive development, with the goal of creating a world where there is peace, tolerance, sustainable resource use and social justice, and where the basic needs and rights of all are met. Inclusive quality and equitable education can be defined as a process of continuing and proactive commitment to eliminate barriers and progressively build access to promote the right to education, together with changes to culture, policy and practice of regular schools and school communities to accommodate and effectively include all students. SDG 4 also works towards ensuring equal access to all levels of education and vocational training for persons with disabilities as well as building disability-inclusive facilities, or upgrading existing facilities, to create better learning environments.

This is in line with the Education 2030 Incheon Declaration and Framework for Action, which states:

> " Inclusion and equity in and through education is the cornerstone of a transformative education agenda, and we therefore commit to addressing all forms of exclusion and marginalization, disparities and inequalities in access, participation and learning outcomes…
> We therefore commit to making the necessary changes in education policies and focusing our efforts on the most disadvantaged, especially **those with disabilities**, to ensure that no one is left behind."

Recognition of inclusion as a major contributory factor in achieving the right to education has also strengthened over the past 30 years, and is enshrined in the Convention on the Rights of Persons with Disabilities (CRPD, 2006), the first legally binding instrument to contain an explicit reference to the concept of quality disability-inclusive education (see article 24). It requires states to ensure that persons with disabilities are not excluded from the education system. Similarly, the OHCHR Thematic Study on the Rights of Persons with Disabilities to Education (OHCHR, 2013) has affirmed that only disability-inclusive education can provide both quality education and social development for children with disabilities, arguing that it is "the most appropriate modality for states to guarantee universality and non-discrimination in the right to education".[1]

BOX 11.1 Key International Reference Documents on Disability-Inclusive Education

UN Convention on the Rights of the Child, 1989
introduces the right to protection from discrimination in grounds of disability for the first time in international human rights law.

World Declaration on Education for All, 1990
highlights the steps needed to provide equal access to education to every category of disabled persons as an integral part of the education system.

UN Standard Rules on the Equalization of Opportunities for Persons with Disabilities, 1993
elaborate the steps needed to translate the principle of equal primary, secondary and tertiary educational opportunities for children, youth and adults with disabilities in integrated settings into practice.

Salamanca Statement and Framework for Action on Special Needs Education, 1994
introduces the guiding principle that ordinary schools should accommodate all children, regardless of their physical, intellectual, social, emotional, linguistic or other conditions.

UN Convention on the Rights of Persons with Disabilities (CRPD), 2006
introduces an obligation to ensure an inclusive education for persons with disabilities at all levels.

UNCRPD General Comment No. 4: Article 24: Right to Inclusive Education, 2016
elaborates the measures governments must introduce to guarantee inclusive quality education for all persons with disabilities.

SDG 4
introduces commitment to ensure inclusive and equitable quality education and promote lifelong learning opportunities for all.

Education 2030: Incheon Declaration and Framework for Action – Goal 5
aims to expand early intervention and education of children with disabilities.

Definitions, Concepts and Principles

Children with disabilities include those who have long-term impairments which, in interaction with various barriers, may hinder their full and active participation in society on an equal basis with others (CRPD, 2006 – see Article 1).

Traditional understandings of disability view it as a problem belonging to a person, based on identification of causes and characteristics of diseases and disorders – the *medical model of disability*. There are however significant limitations to this approach, which can disempower rather than inform teachers and promotes a sense of dependency on specialists to teach such children. For example, Down syndrome is a genetic disorder associated with a set of intellectual and biological characteristics that may range from mild to severe. The label itself provides no guidance to help understand an individual child's specific experiences of disability, or their abilities or talents. It may instead serve as a barrier to the implementation of disability-inclusive education by focusing on fixed stereotypes rather than on what can be achieved by teachers. Disability-inclusive education is about creating enabling environments. In order to be useful and effective, descriptions of impairments therefore need to provide information on how functional limitations may (or may not) affect educational participation and which pedagogical approach can be used to enhance learning capacity.

The CRPD (2006) focuses on the importance of context and environment in enabling or restricting individuals from participating effectively within society. This is also referred to as the *social/human rights model of disability.* This approach is consistent with the World Health Organization's International Classification of Functioning, Disability and Health, more commonly known as the ICF, which conceptualizes a person's level of functioning as a complex interaction between a person's health conditions and broader contextual factors (WHO, 2001).[2] It defines functioning and disability as multidimensional concepts relating to the body functions and structures of people; the activities people do and the life areas in which they participate; and the factors in their environment that affect these experiences.

Whether a country uses the medical or the social/human rights model influences how disability is understood and how data is collected. In turn, this influences the type(s) of analysis that may be undertaken. For example, a country where the medical model is prevalent may have information on the number of survivors from polio or of people with cerebral palsy. By contrast, a country following the social/human model may have information on people with different levels of difficulty in moving around or self-care. Annex 11.1 offers an overview of key differences in approach between the medical and social/human rights models of disability.

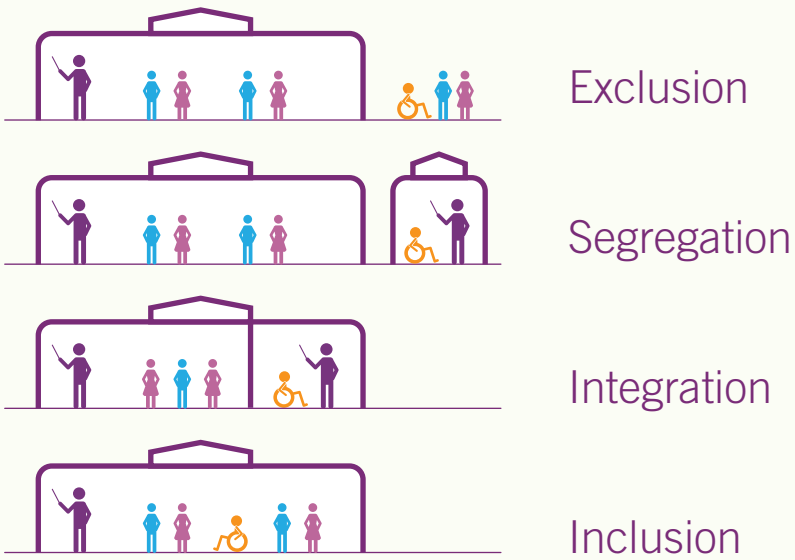
Education System Approaches to Children with Disabilities – and What Inclusion Means

Throughout the years approaches towards education of children with disabilities have moved through several stages (UNICEF, 2012):

1. **Exclusion:** no recognition of the right or capacity of children with disabilities to education and consequent denial of access to education in any form.
2. **Segregation:** placement of children with disabilities in separate environments designed or used to respond to particular or various impairments, in isolation from children without disabilities.
3. **Integration:** placement of children with disabilities in existing mainstream educational institutions, as long as the child can adjust to fit the standardized requirements of such institutions.
4. **Inclusion:** a process of systemic reform embodying changes and modifications in content, teaching methods, approaches, structures and strategies in education to overcome barriers.

Figure 11.1 offers a visual description of the conceptual differences between these approaches towards education of children with disabilities.

FIGURE 11.1 Conceptual Difference between Exclusion, Segregation, Integration and Inclusion



Source: Authors

Inclusion serves to provide all students of the relevant age range with an equitable and participatory learning experience and environment that best corresponds to their needs and preferences. It requires a commitment to changing the system to fit the student, not changing the student to fit the system, and accordingly necessitates reform of the whole education system. It requires investment in curriculum and a cross-cutting pedagogy that recognizes every child's potential to learn. It needs the removal of barriers to inclusion, such as physical inaccessibility, as well as the creation of environments in mainstream schools that are child centered and include representations of the full spectrum of people found in society. Disability-inclusive education therefore refers to a wide range of strategies, activities and processes to make a reality of the universal right to quality, relevant and appropriate education. Box 11.2 outlines the core features of a disability-inclusive education system.

BOX 11.2 Core Features of a Disability-Inclusive Education System

a) **Whole educational environment:** the committed leadership of educational institutions is essential to introduce and embed inclusive education at all levels (e.g. classroom teaching and relationships, board meetings, teacher supervision, counseling services and medical care, school trips, budgetary allocations, and any interface with parents of learners with and without disabilities when applicable, the local community or wider public).

b) **Whole person approach:** recognizing the capacity of every person to learn, inclusive education offers flexible curricula, teaching and learning methods appropriate to the learners' needs, as well as the provision of support, reasonable accommodations, and early intervention. The focus is on learners' capacities and aspirations rather than content when planning teaching activities. The education system must aim to provide a personalized educational response, rather than expecting the student to fit the system.

c) **Supported teachers:** all teachers and other staff must receive education and training giving them the core values and competencies to accommodate inclusive learning environments, which include teachers with disabilities. The inclusive culture enables an environment that encourages working through collaboration, interaction and problem-solving.

d) **Respect for and value of diversity:** all members of the learning community are welcomed equally, with respect for diversity according to, inter alia, disability, race, color, sex, language, linguistic culture, religion, political or other opinion, national, ethnic, indigenous or social origin, property, birth, age or other status. Effective measures to prevent abuse and bullying are in place.

e) **Learning-friendly environment:** all learners feels safe, supported, stimulated and able to express themselves, with a strong emphasis on involving students themselves in building a positive school community.

f) **Effective transitions:** learners with disabilities receive the support to ensure the effective transition from learning at school to vocational and tertiary education, and finally to work. Learners receive reasonable accommodations and equality regarding assessment and examination procedures, and certification of their capacities and attainments on an equal basis with others.

g) **Recognition of partnerships:** school support groups, both formal and informal (e.g. teacher and student associations school boards, parent-teacher associations (PTAs), are encouraged to increase their understanding and knowledge of disability. Parents/ caregivers and the community must be viewed as assets with resources and strengths to contribute. The relationship between the learning environment and the wider community must be recognized as a route towards inclusive societies.

h) **Monitoring:** inclusive education must be monitored and evaluated on a regular basis to ensure that segregation or integration is not happening either formally or informally. Disability-inclusive indicators must be developed and used consistent with the 2030 Agenda for Sustainable Development.

Source: UNCRPD General Comment No. 4: Article 24: Right to Inclusive Education, 2016

In addition, a set of questions provided in Annex 11.2 can be used as an overview to gain an understanding of a country's bigger picture and where its strengths or weaknesses are for each education phase. This overview may be a helpful starting point, particularly to understand what systems exist with regard to access and service provision, before analyzing the relevant data in detail.

The Cases for Disability-Inclusive Education

Beyond the human rights and principled imperative for disability-inclusive education, the arguments for including children with disabilities are compelling. Below we discuss the economic, education and social arguments for disability-inclusive education.

The economic case: Exclusion from education results in a vicious cycle (see Figure 11.2). Gross domestic product (GDP) is reduced as a consequence of non-participation in the economy by persons with disabilities, with the estimated cost of lost productivity as high as 7 percent of GDP in low- and middle-income countries (Buckup, 2009). Yet disability is associated with about a 10 percentage point additional probability of falling in the two poorest quintiles. The link between disability and poverty happens through many channels, including direct and indirect costs related to disability. This includes the costs associated with medical care, assistive devices and personal support, and exclusion from education and employment (Jenkins and Rigg, 2003). The World Bank has argued that "children with disabilities are less likely to acquire the human capital that will allow them to earn higher incomes" (Filmer, 2005). Typically, the gap in school participation between children with and without a disability is around twice as large as the gaps associated with urban vs. rural residence or differences in wealth.[3]

FIGURE 11.2 **Cycle of Disability and Poverty**



Source: FCDO, 2000

Many of the direct and indirect costs of disability could be reduced if the environment were more inclusive (WHO and World Bank, 2011). Children with disabilities have greater overall gains in academic outcomes and behaviors in mainstream schools than their peers with similar disabilities in segregated classrooms (MacArthur, 2009). Opportunities for quality disability-inclusive education will also lead to reduced welfare dependency, reduced current and future dependence, and reduced caring responsibilities, allowing other household members to increase employment or other productive activities.

Opponents of disability-inclusive education have often defended the maintenance of a segregated education system on the basis that it is not economically viable and that the associated costs would be prohibitive. However, countries are now increasingly realizing the inefficiency of multiple systems of administration, organizational structures and services, and that it is the option of special schools which is financially unrealistic (Peters, 2004). In reality, 60 percent of children with special educational needs can be educated with no adaptations, and as many as 80 to 90 percent can be educated in regular schools with minor adaptations such as teaching strategy training, child-to-child support[4] and environmental adaptations (UNESCO, 2009a; Inclusive Education, 2008; World Bank, 2007; Jonsson and Wiman, 2001).

Furthermore, a growing body of evidence developed during the 1990s points to inclusion as being more academically, socially and cost effective than segregated schooling (Peters,

2004; Metts, 2000; O'Toole and McConkey, 1995; OECD, 1994). The Bond report highlights the value for money[5] of disability inclusive development: for example, if people with disabilities are able to participate in their communities without discrimination and have access to livelihoods, this opens up new opportunities to contribute economically, with the benefits extending beyond the individuals themselves (Bond, 2016).

An OECD report estimated average costs of segregated placements to be seven to nine times higher than the costs of placements in general education classrooms (OECD, 2000). Furthermore, although disability-inclusive education requires initial investment in system reform such as teacher and staff training, improving infrastructure, and revising curricula, learning materials and equipment, these costs represent an efficient use of funds, with the potential to lead to improved education for *all* students.

The education case: Research highlights that supporting children with disabilities in inclusive schools leads to an improvement in the quality of education for all children, as it becomes more child centered and focused on achieving good learning outcomes for all, including children with a diverse range of abilities (Mitchell, 2010). By becoming more aware of the capabilities of all children, teaching staff are more likely to ensure that teaching and learning are based on high expectations, creating a self-reinforcing cycle of success.

The social case: Disability-inclusive education promotes tolerance, acceptance of difference, respect for diversity, and enables children with disabilities to acquire greater skills in independence and social skills as well as opportunities to become productive members of their societies. Children with disabilities are less marginalized and more socially included, enabling them to live with their families within the local community. Disability-inclusive education benefits all students by espousing principles of teaching based on the needs of the student.

Framework for Disability-Inclusive Education

The Framework for Disability-Inclusive Education (see Figure 11.3) is a tool that can be used to begin looking at the entire education system, from early childhood education up to tertiary education, through a disability-inclusive lens, and a way of examining what needs to be considered in order to include children with disabilities. Specifically, the framework provides an overview of the different parts or aspects of an education system that need to be addressed, include the social context, to enable the inclusion of children with disabilities. While the framework focuses on children with disabilities, it is expected that any improvements identified will benefit the participation and learning outcomes of all children, with or without disabilities.

The framework was first designed by UNICEF and IIEP-UNESCO in preparation for technical roundtables on disability-inclusive education (held in 2018 and 2019 in Paris, France).

It was created to structure the work done by countries to support implementation of disability-inclusive education. The framework was then disseminated for comments from many stakeholders – ranging from ministries of education, development partners, NGOs and disabled persons organizations (DPOs) as well as practitioners working in the field of inclusive education. The final product – the Framework for Disability-Inclusive Education plus an accompanying toolkit with brief summaries of each block in the framework (see Annex 11.3) – has proven to be a useful tool that can be applied during different phases: from planning to monitoring and analysis.[6]

The Framework for Disability-Inclusive Education is divided into two broad sections: *service delivery* and *enabling environment*. At the service delivery level in local communities, there are three areas – supply, quality, demand – that determine whether schools can provide an inclusive education for children with disabilities.

An essential pre-requisite for disability-inclusive education is that schools are capable of receiving children with disabilities. Three supply-side characteristics of schools are particularly important: teachers need to be trained to instruct classes in which children may have physical impairments or learning difficulties and need additional expert support; school infrastructure (buildings, classrooms, toilets, school grounds, transportation) must be accessible; and schools should also be able to provide textbooks and other learning materials for children with a variety of disabilities.

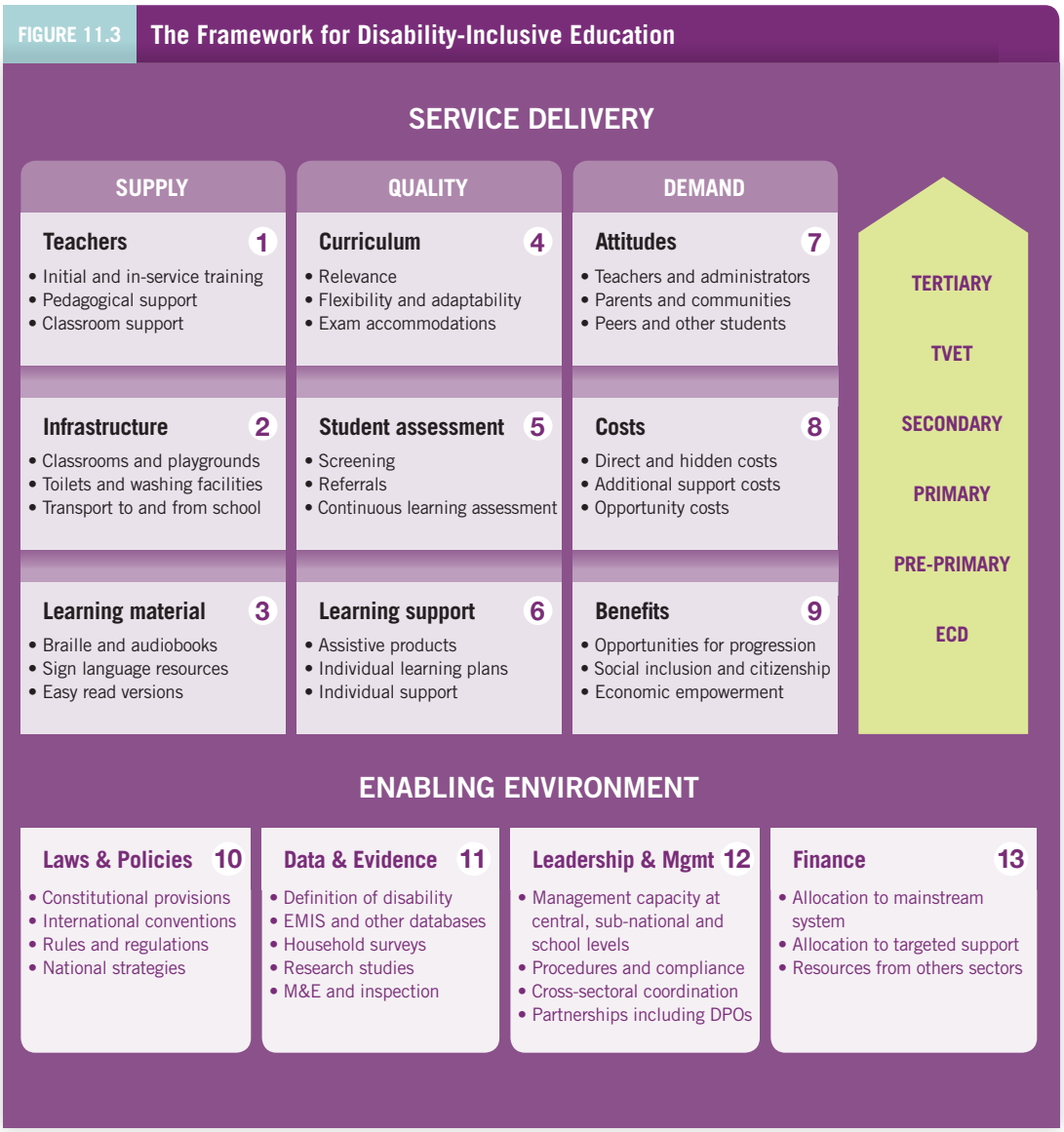
Even if schools are capable of receiving children with disabilities, various demand-side barriers in society may prevent these children from enrolling or attending. The most important of these barriers is the attitudes of the local community, school staff and other students, as stigma and discrimination can lead to exclusion, or marginalization in the classroom and bullying by classmates. Decisions on sending children with disabilities to school are often also determined by whether the immediate additional costs – such as assistive devices and appropriate learning materials – are justified by potential benefits in the future – such as opportunities for employment and social inclusion.

Once in school, the quality of the education that children with disabilities obtain is determined by both the national curriculum as well as the assessment and support systems that are in place. The curriculum should be relevant to all children and sufficiently flexible to meet the requirements of children with different abilities. In addition to routine testing, schools should have procedures to regularly screen and assess children to identify their learning needs. These should be linked to systems to provide any necessary learning support, including assistive devices, accessible learning materials or individual assistance.

For education to be disabilty-inclusive, schools need to operate within a suitable enabling environment set by the government. At the highest level, the country's legal, political and constitutional framework must be aligned with international conventions that defend the right of all children to be educated in the same classrooms in the same schools. Within this, MOEs must drive efforts towards disability-inclusive education. Senior staff should take a

leadership role and ensure that there is both sufficient management capacity and sufficient financing throughout the education system. Regular feedback from persons with disabilities should be obtained, and systems put in place to collect data on the participation and learning outcomes of children with disabilities in order to make evidence-based adjustments to policies and procedures.

FIGURE 11.3 The Framework for Disability-Inclusive Education



Source: Working document created by UNICEF and IIEP-UNESCO for reference during the Technical Round Tables on Disability-Inclusive Education Sector Planning (2018 & 2019)

SECTION 1

System Capacity and Management

For education to be disability-inclusive, schools and other education-related bodies need to operate within a suitably enabling environment. This section therefore examines regulatory frameworks, including specific measures directed to the introduction of disability-inclusive education and the wider legislative and policy environment needed to support it, as well as institutional frameworks in order to understand what structures are – or are not – in place to support implementation of disability-inclusive education. The section also looks at data systems, with a focus on the quality and availability of country data on children with disabilities, including data on their learning outcomes and on the school environment (e.g. physical and material barriers to learning, human resources and services, and the state of EMIS data), and offers guidance on how different data sources might be or drawn on and/or combined in an attempt to resolve the lack of information generally on children with disabilities. Finally, acknowledging that financing disability-inclusive education should be a top priority for all countries, the section explores financing models, first by assessing the costs of existing systems for the education of children with disabilities, and then by understanding the main sources of funding, the challenges in directing resources to disability-inclusive education, and possible alternatives for improved funding.

1.1 Regulatory Framework

In order to understand the current context with regard to the status of disability-inclusive education within any country, an analysis of the existing legislation, regulations, policies and frameworks in place at national level needs to be undertaken. This will include the specific measures directed to the introduction of disability-inclusive education and also the wider legislative and policy environment needed to support it.

Once the analysis is complete, it will provide an informed overview and baseline to inform a strategic plan of action to move the implementation process forward. Information on laws and policies relevant to disability-inclusive education and that will be assessed in the paragraphs below may be found in the national education sector plan (ESP) and/or separate policy and normative documents. In addition, the World Bank's SABER tool (Systems Approach for Better Education Results)[7] collects data in policies and institutions of education systems around the world, including in the area of disability-inclusive education. For countries that participated in the SABER-Equity & Inclusion (SABER-E&I), the data that was collected can contribute to inform the analyses in Sections 3 and 4 of this chapter.

This section of the country ESA should aim to answer, as appropriate, the following questions:

1. *What is the process by which policy and legislation on disability-inclusive education is implemented at the school level?*
2. *Is there a focal point within the ministry that is responsible for the education of children with disabilities, in special education and/or regular schools?*
3. *Are all children with disabilities accepted into regular schools? If not, is there a policy (or guidelines) which determines which children with disabilities are accepted? At what level is the decision made – departmental or school level?*
4. *Who is responsible for finding out-of-school children (OOSC) with disabilities? What specific steps are taken to achieve their enrollment? Are measures in place to take action at the community level to find children with disabilities who are not enrolled in school?*
5. *Are there specific policy directives in place to provide guidance to school management on how to implement disability-inclusive education? If so, what measures are taken to ensure the implementation of the policy directives?*
6. *Is awareness training of educational administrators conducted on the issue of including children with disabilities in the school system in order to overcome negative attitudes and promote a positive climate for change?*
7. *Have measures been introduced to help parents and families of children with disabilities understand that their children have the right to go to school and that they are required by law to send them to school? Do these measures reach out to families in remote, isolated and poor communities?*
8. *What is the current regulatory framework for provision of additional services to support health and learning in school?*

1.1.1 THE BROADER LEGISLATIVE ENVIRONMENT

A range of measures, beyond education itself, are required to create the environment in which it is possible to introduce and support disability-inclusive education. The first step in the analysis should be to consider the extent to which these measures are in place. Key measures include:

- *Non-discrimination:* General legislation providing explicit protection from discrimination, including in respect of the right to education on the basis of equality of opportunity, is an essential measure in establishing not only entitlement, but also the means of challenging violations in relation to exclusion from school, failure to provide disability-inclusive educational environments, and discriminatory behaviors and attitudes within school.
- *De-institutionalization:* Continued institutionalization of children with disabilities is inconsistent with the goal of disability-inclusive education. Measures are needed to

contribute to the progressive transfer of children with disabilities from institutions to family- or community-based care.

- *Protection from violence:* A significant body of evidence highlights the disproportionate vulnerability of children with disabilities to violence, including in the school environment. Girls with disabilities are among the most vulnerable to gender-based violence, in particular, school-related gender-based violence. Establishing a clear legal, policy and educational framework of protection, reporting and response provides the opportunity to reduce the incidence of violence and track progress to that end over time.
- *Right to be heard:* The active participation of students is integral to successful inclusive schools. The introduction of participatory forums through which children can express views and communicate with relevant authorities provides a mechanism for identifying problems that undermine the effective functioning of inclusive schools and of the education system more widely. Forums also mobilize the energy and creativity of children to contribute to positive and inclusive learning environments. Establishing legal frameworks to affirm the right of children to be heard contributes to a gradual cultural change towards stronger and more inclusive education.

For each of these measures, countries will be on a continuum of legislative environment that ranges from least conducive to disability-inclusive education to optimally inclusive. Table 11.1 draws on the UNICEF scoring table (1 – weak, 2 – initiating, 3 – established, 4 – championing) to assess where a given country is on this continuum, based on an analysis of certain key dimensions of existing constitutional, legislative, regulatory and policy provisions. This is helpful also to understand what the next steps might be in order for the country to progress in each dimension. For example, country A may have general laws against discrimination but no specific reference to disability (score 2 on dimension 1), and may wish to consider strengthening its legislation with regard to children with disabilities. Country B, with a solid 3 on dimension 1 but a score of 1 on dimensions 2 and 4 (on redress mechanisms and support for families) may wish to focus on concrete mechanisms to make the law a reality.

TABLE 11.1 Assessing a Country's Situation with regard to the Broader Legislative and Policy Environment for Inclusive Education

Legislation and Policies (dimension)	Championing (score 4)	Established (score 3)	Initiating (score 2)	Weak (score 1)
1 Every child has the right to protection from discrimination on grounds of disability	Non-discrimination on grounds of disability is in both constitution and legislation, backed up by clear policies and strategies to promote implementation and provide mechanisms for enforcement.	Legislation is in place to guarantee non-discrimination on grounds of disability but no action is taken to ensure implementation.	General discrimination law is in place but there is no specific reference to disability – included under 'or other status' or equivalent.	No protection from discrimination exists in constitution or legislation.

2 Children with disabilities and their families are able to seek redress if they experience discrimination or other violations of their rights	An accessible, well-publicized and safe mechanism for complaints and redress for children with disabilities and their families is in place.	A complaints and redress mechanism is in place but is not widely publicized or known about.	Consideration is being given to the introduction of a complaints and redress mechanism.	No consideration has been given to the introduction of a complaints or redress mechanism.
3 The right of every child to live with their family is recognized in legislation	Legislation has been introduced to bring an end to institutionalization, together with a clear time frame in national strategy and budget for implementation.	Legislation is in place to end institutionalization but no strategy or budget is in place for implementation.	Government acknowledges the detrimental impact of institutional care for children and plans to move towards its closure, but no legislation is in place nor date for implementation.	No legislation or explicit policy to end institutionalization is in place.
4 Children with disabilities are cared for and supported within their families or substitute family environment	Children with disabilities are supported through community-based support services to live with their families.	Some financial provision and services to support families of children with disabilities living at home has been introduced.	Limited support only for families of children with disabilities.	No community-based support services exist for families with children with disabilities.
5 Children are protected from all forms of violence in schools	Legislation bans all forms of corporal or other humiliating punishment in schools. Legislation is widely promoted, and teachers trained in positive forms of discipline. Schools are required to have anti-bullying strategies that take full account of the particular vulnerability of children with disabilities to violence, and to gender-based dimensions of violence.	Legislation bans all forms of corporal punishment in schools, but little support is provided to teachers to ensure its implementation. Children are largely unaware of the legislation.	Government policy discourages use of corporal punishment but it is not prohibited.	Neither legislation banning corporal punishment in schools nor policies on bullying are in place.
6 Children have a right to democratic participation in schools and to be consulted on education policy	There are mandatory student councils and school management committees where students have real control over important decisions. Student councils are fully representative of the student body, and children with disabilities play an active part.	Student councils are widespread in mainstream schools, but only in a few special schools. In inclusive schools, children with disabilities tend to be excluded from participation in school councils.	There are student councils in a few mainstream schools, but no opportunities for the voices of children with disabilities to be heard.	There are no student councils or other mechanisms in any schools through which children can voice their views.

Source: Adapted from UNICEF, 2014c

1.1.2 SPECIFIC LEGISLATION AND POLICIES TO IMPLEMENT DISABILITY-INCLUSIVE EDUCATION

A legislative framework for disability-inclusive education in legislation is an explicit commitment by the government. It serves to clarify obligations and support for progress at the national and local levels and to work towards a common approach. Accordingly, a comprehensive and coordinated legislative and policy framework for inclusive education needs to be introduced, together with a clear and adequate time frame for implementation and sanctions for violations. This framework needs to address issues of flexibility, diversity and equality in all educational institutions for all learners, and identify responsibilities at all levels of government, including national, regional and local. Box 11.3 provides questions to start the discussion about laws and policies supporting education of children with disabilities in the country.

BOX 11.3 Questions for Analysis of Country's Laws and Policies

1. Have the country signed or adopted any of the following mandates or agreements?
 - UN Convention on the Rights of the Child (1989)
 - UN Standard Rules on the Equalization of Opportunities for Persons with Disabilities (1993)
 - Salamanca Statement and Framework for Action on Special Needs Education (1994)
 - Dakar Framework for Action: Education for All (2000)
 - UN Convention on the Rights of Persons with Disabilities (CRPD) (2006)[8]
2. Have any explicit laws or policies been introduced to implement these agreements – for example, a policy commitment to include children with disabilities in the national education system and regular community schools?
3. Does the country have an education law mandating compulsory education for all children? Is there any specific reference to the rights of children with disabilities?
4. Is the policy on education for children with disabilities under the MOE or alternative ministries?
5. Is there a wide community consultation process connected with the development of national education policy? Are parents and families of children with disabilities as well as organizations of persons with disabilities consulted? Are they involved in any formal consultative committees?
6. Has any action been taken in the country to find and include disadvantaged children, including children with disabilities, into the national school system?
7. What action is taken to enable community-based organizations as well as DPOs to work together to strengthen disability-inclusive education?
8. Are there any non-government initiated pilot projects to implement disability-inclusive education? Does the MOE work in partnership on these projects?

Source: Authors

Table 11.2 again draws on the UNICEF scoring table to assess in greater detail where a country is regarding the main dimensions of specific legislation and policies regarding disability-inclusive education.

TABLE 11.2 Assessing a Country's Situation with regard to Specific Legislation/Policies to Implement Disability-Inclusive Education

Legislation and Policies (dimension)	Championing (score 4)	Established (score 3)	Initiating (score 2)	Weak (score 1)
1 Every child has the right to education	There is a law/policy establishing the right of all children to receive an education in inclusive settings, with an explicit mention of children with disabilities, as well as a national plan on disability-inclusive education.	There is a law/policy establishing the right of all children to receive an education, with an explicit mention of children with disabilities.	There is a law/policy	No protection from discrimination exists in constitution or legislation.
2 The disability-inclusive education framework is compliant with relevant international human rights standards	Legislation and policies have been reviewed and are compliant with core human rights standards, such as CRC, CRPD, Convention on the Elimination of All Forms of Racial Discrimination (CERD), International Covenant on Civil and Political Rights (ICCPR), International Covenant on Economic, Social and Cultural Rights (ICESCR), and Convention on the Elimination of All Forms of Discrimination Against Women (CEDAW).	Legislation and policies have been reviewed in accordance with CRC but not the other relevant treaties, particularly CRPD.	Consideration is being given to reviewing compliance with core human rights standards.	No review of legislation or policies has been undertaken to assess compliance with core human rights standards.
3 Legislation provides a definition of disability-inclusive education and its objectives	Disability-inclusive education is clearly stated in legislation as a concrete goal at all levels: early years, primary, secondary, tertiary and vocational.	Legislation on disability-inclusive education has been introduced but does not provide a clear definition at all levels.	Legislation on disability-inclusive education is being considered but not yet drafted.	No legislative definition of disability-inclusive education has been introduced.

4 **Teachers, including teachers with disabilities, are supported to work in inclusive education settings**	The policy/plan on disability-inclusive education includes recommendations to pre- and in-service training to prepare teachers for inclusive approaches to education, and provide ongoing capacity development and support. Steps have been taken to implement the policy. Government has made an explicit commitment to recruit and train teachers with disabilities, and any legislative barriers to their recruitment have been removed. Investment has been made in training colleges to promote and support access.	The policy/plan on disability-inclusive education includes recommendations to pre- and in-service training to prepare teachers for inclusive approaches to education. Government has made an explicit commitment in principle to recruit and train teachers with disabilities but policies to support their recruitment are not yet implemented.	Proposals for training to support disability-inclusive education are being developed. Government is willing to recruit teachers with disabilities but there is no proactive investment to enable this.	No plans are in place to provide teachers with training on inclusive approaches to education. No teachers with disabilities are in place in schools, and there are no policies or commitment to recruit them.
5 **A government-wide and coordinated approach to disability-inclusive education is in place**	A clear government-wide policy for disability-inclusive education is in place involving MOEs, as well as other relevant ministries (social welfare, child protection, health, transport, planning, water and sanitation, finance, etc.).	A government-wide policy for disability-inclusive education is in place but only limited progress has been made in its implementation.	Some collaboration exists between key departments but it is ad hoc and informal.	No coordination exists between government departments and ministries.
6 **All schools are required to be accessible**	New schools, including private schools, are required by law to be designed and built according to principles of universal design to ensure accessibility. A time frame is in place for existing schools to be adapted.	Legislation to require new schools to be built to ensure accessibility is in place but not yet implemented.	Consideration is being given to the introduction of measures to promote greater accessibility in schools.	No legal requirement or time frame exists to ensure accessibility in schools.
7 **Children with disabilities are provided with reasonable accommodations to support their participation in education**	Legislation introduces and defines reasonable accommodations, and budgetary support is in place to ensure its provision for those children requiring individual provision.	Legislation introduces and defines reasonable accommodations but no dedicated resources are allocated for its implementation.	No legislation or policy on reasonable accommodations exists but ad hoc provision for individual students is available.	Legislation makes no provision for reasonable accommodations.

Source: Adapted from UNICEF, 2014c

Note that the "championing" score of dimension 3 in the table above mentions disability-inclusive education at all levels, including the early years, primary, secondary, tertiary and vocational education. Indeed, while disability-inclusive education may be more developed at some levels (e.g. primary education) and may progress at different rates, it is a relevant goalpost for all levels, starting from pre-primary education, which provides a solid foundation for the later years (see Section 3.1).

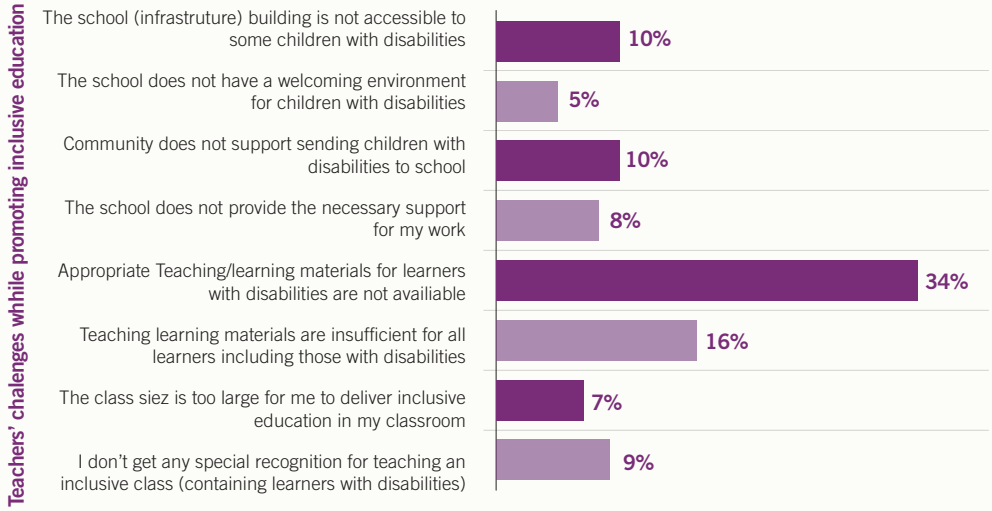
EXAMPLE 11.1

(Appraising Bottlenecks to IE Policy Implementation): A Survey of Teachers' Perceptions of Key Challenges to the Implementation of the National IE Policy, Ghana, 2017

Source: Ghana MOE & UNICEF, 2018 [9]

In order to better understand and assess the capacity of the system to implement disability-inclusive education and to identify key gaps and bottlenecks that prevent the existing Inclusive Education Policy from being implemented at scale, the ESA team commissioned a survey. This survey was implemented at district, school and community levels and aimed to: (i) assess knowledge about the policy framework and attitudes towards children with disabilities, in order to assess to what extent the policy and its meaning have been disseminated at different levels; (ii) assess the level of understanding of the principles of the policy making sure it is in line with the human rights approach; (iii) explore and assess the availability and caliber of present systems and available resources that support children with disabilities and their families both at the school and the community levels; and (iv) assess attitudes of various stakeholders towards the type of education children with disabilities receive.

FIGURE 11.4 **Challenges Faced by Teachers in Promoting Disability-Inclusive Education, Ghana, 2017**



The study engaged teachers in regular schools and special schools, head teachers, parents of children with and without disabilities, and pupils through interviews and questionnaires (see Annexes 11.4, 11.5, 11.6). In addition, a series of focus group discussions were held at the community level engaging various community members to assess their attitudes around, and knowledge and understanding of, the issues around inclusion, children's rights, and availability and accessibility of services for children with disabilities. The sample included teachers from regular (70 percent) schools and resource (15 percent) and special education teachers (15 percent), 13 percent of which had a form of impairment. Some of the key findings from the perspective of teachers are provided in Figure 11.4 below.

Findings:
In an attempt to promote and implement disability-inclusive education, key actors, including teachers, are confronted with several issues. The unavailability of the appropriate teaching and learning materials for learners with disabilities (34 percent) emerged as the prominent challenge faced by teachers in teaching a diverse range of learners. In instances where teaching/learning materials are available, they are usually inadequate to meet the needs of all learners (16 percent). Some teachers also indicated that the school infrastructure was inaccessible to children with disabilities (10 percent) and that the community frowns upon sending children with disabilities to school (10 percent). Low motivation (9 percent), limited support from school authorities (8 percent), large class sizes (7 percent) and the unwelcoming nature of school environment for children with disabilities (5 percent) also hinder the smooth implementation of disability-inclusive education.

1.2 Institutional Framework and System Capacity

As discussed in Chapter 13 of these ESA Methodological Guidelines, the organizational structures underpinning education are an important aspect of education systems.[10] They create the context and environment that serve to support a culture in which disability-inclusive education can be introduced and sustained. It is important to understand what structures are in place and then examine how and whether these support implementation of disability-inclusive education. It is also important to consider the attitudes of different stakeholders towards inclusion in the classroom in this chapter of the country ESA (see Section 4). This part of the analysis is likely to require data collection and will enable the ESA team to further understand the overall capacity of the system to support implementation of disability-inclusive education. In addition, this data collection and analysis may point to hidden barriers and identify bottlenecks that hinder implementation of different aspects of inclusion.

When looking at government-wide and cross-ministerial structures it is necessary to consider the following:

- *Does responsibility for the education of all children rest within the education ministry?* Realization of the equal right of every child to safe, inclusive and quality education without discrimination requires that the responsibility for education of every child rest with MOEs. Where this responsibility is located in other ministries, such as the ministry of social welfare, it can lead to the exclusion of children with disabilities from mainstream education legislation, policy, planning and resourcing, and a lack of overarching and coherent structures in place to support disability-inclusive education. A strategic commitment to disability-inclusive education for all children requires the establishment of an inclusive educational system in which all aspects of the administrative, managerial and financial and policy frameworks with responsibility for education are brought together under one ministry.

- *Are education policies coordinated across government?* Effective education policies require collaboration with a number of ministries beyond education. Without coordinated action across relevant government ministries, it is not possible to build and support a consistent culture of inclusion. Governments need to develop a national plan of action within which all relevant ministries are expected to have a common understanding of and commitment to disability-inclusive education. For example, ministries of finance through domestic resource mobilization efforts and budgetary provisions should support MOEs to make targeted investments in schools and communities to meet the needs of girls and boys with disabilities. Many barriers to disability-inclusive education relate to physical, transportation, communication, safety and financial factors that can only be addressed by inter-departmental planning and policies towards an integrated approach.

- *Is a devolved government structure in place?* Devolving government responsibilities to the local level enables services to be adapted to local needs, and allows for greater local democracy and accountability. It also lends support and encouragement for innovative practices to meet the specific needs of communities, schools and learners within local communities. It can be argued that decision-making should take place at the level most appropriate for the issue, usually the lowest level possible. However, there are challenges in devolution: it can result in wider variations in quality and type of services, resulting in inequalities; local decision-makers may establish priorities and make decisions that act to exclude rather than include children with disabilities from education; and capacity at local level for developing disability-inclusive education may be limited.

Box 11.4 provides an overview of these and additional questions that may prove useful to understanding the institutional context of a country's attempts to create a more disability-inclusive education system.

BOX 11.4 Suggested Checklist of Considerations When Analyzing Government-Wide and Cross-Ministerial Structures

- Who are the main providers of education to children and youth with disabilities? (For example, MOEs, other ministries, international agencies, NGOs.
- What are the roles and scope of each provider?
- Are the roles of the various providers coordinated in some way? Who is responsible for the coordination?
- Is there a coordination mechanism within the MOE, overseeing the work of all education providers to children with disabilities? Is there a designated lead person/department for this work?
- Is there multi-sectoral collaboration in the provision of education to children with disabilities? Which ministries and nongovernment and community agencies and organizations are involved?
- What steps are required to achieve amalgamation of the various types of educational provision for children with disabilities?
- What may be the changing role of NGOs as responsibility for the education of all children is assumed by government?
- Is there a formal and a non-formal system of education for persons with disabilities?
- Are children with disabilities included in both systems or only in the non-formal system?
- Does the non-formal system provide basic education to primary school age children?
- Who is responsible for the non-formal system? Who provides the financial resources?
- Does your country have a national coordination mechanism or national coordination council on disability? If so, does it have inter-sectoral representation? Does it include DPOs?

Source: Adapted from UNESCO, 2009b

1.3 Data Systems

Sufficient, quality data is necessary for analyzing the educational experiences of children with disabilities within an education system and for planning and evaluating policies aimed at increasing its inclusivity. This requires not only data on children, but on the barriers to and facilitators of inclusion within the school system because, as noted in the introductory section,[11] disability arises from the interaction between a person's functional impairments and the environment. Furthermore, the nature of the data and the sources it is drawn from is contingent on the purposes of data collection.

It is important to stress that any such analyses must take account of the large variance of disability (by type and degree) and also its interaction with other key characteristics, most notably gender, location, wealth, ethnicity, and household structure. Children with physical disabilities, for example, face barriers of access but generally do not face additional difficulties in learning. The opposite may be true for children with intellectual disabilities. Wealthy families may be able to provide assistive devices or other services that facilitate participation. Many studies show that girls are often more affected by their disability status across a wide range of outcomes.

Lack of relevant, high quality data is a major challenge to countries seeking to facilitate policy development, implementation and evaluation with regard to the goals of the CRPD. This includes data typically found in education management information systems (EMIS),[12] census, household surveys and learning assessments. This section's purpose is to help understand how developed a country's data system is in light of the needs of disability-inclusive education. This will feed into any data improvement strategy foreseen as part of the ESP, which should consider not only an "ideal" set of questions[13] but also the reporting burden placed on schools. In addition, once improved data systems are set in place, it is important to actively monitor (and improve) response rates and data quality.

To assess the quality of national data systems, five main questions need to be answered:

1. *How well is the EMIS/administrative data system reporting on enrollment and progression (including promotion, repetition, graduation/exams, etc.) of girls and boys with disabilities in the education system?*
2. *How well is the EMIS reporting on the accessibility of physical structures and materials?*
3. *What information about the training of school personnel does administrative data contain?*
4. *Does the EMIS contain information on the types of services received by students?*
5. *To what extent is the learning assessment system inclusive of children with disabilities?*

1.3.1 DATA ON CHILDREN WITH DISABILITIES

Typical data sources for education planning include household surveys, population censuses, administrative data systems, such as EMIS, and learning assessments (a brief discussion of each follows). However, many of these sources often do not collect information on children with disabilities, and when they do, they may collect poor or limited information. Even fewer of them collect information on environmental barriers to education.

In UNICEF's review of EMIS data for its *Guide for Including Disability in Education Management Information Systems* (UNICEF, 2016), only 19 of a sample of 40 low- and middle-income countries had information on children with disabilities within their administrative data systems. However, most of these applied a minimal approach and simply collected information on the presence of children with any disability. As mentioned earlier, knowing the type and severity of disabilities is important as these create different challenges and barriers for affected children. It is also important to appropriately record children with multiple disabilities. A child may have vision and mobility difficulties or hearing and intellectual difficulties. If the goal is to plan for services, then a system that can identify both how many children have at least one disability, and how many children have each type of disability is preferable.[14] Disaggregation by sex is also crucial to recognize and monitor differences in school experience of girls and boys with disabilities, in regard to access, classroom treatment and achievement.

Indeed, even when such information is included, it is often of poor quality (Mont and Sprunt, 2019). This is due to a number of reasons. Firstly, EMIS forms often ask about 'disability' or particular diagnoses – both approaches have been shown to under-identify the number of children with disabilities. Secondly, when EMIS do take the preferred approach of asking about functioning, they sometimes focus only on a subset of functional domains and/or identify only the most severe conditions (e.g. they ask about blindness and deafness but not about children with low vision or who are hard of hearing). The situation has seen some improvement, however. OpenEMIS,[15] for example, contains questions on child functioning, and is being taken up by a number of countries.

Box 11.5 shows an example from the Fiji EMIS that takes a functional approach to identifying children with disabilities based on the CFM and the guidance provided in UNICEF's guide for an inclusive EMIS. Studies show that teachers' responses to these questions are in line with both parental responses and independent clinical assessments, providing evidence of their validity (Sprunt et al., 2017).

The EMIS goes further than simply identifying children with disabilities, recording to which services the child is referred (Section 1.3.6 explains how this data is combined with environmental data examining the school environment in developing an educational plan for the child and for school budgeting needs). Data from the EMIS can track the experience of children in schools, disaggregated by disability. However, children out of school are typically excluded from the EMIS, so it is not an adequate data source for measuring gaps in enrollment. A survey such as the Multiple Indicator Cluster Survey (MICS) is better suited for that purpose.

In addition, if an EMIS only reports on numbers of students with disabilities without information on their grade level, this will be insufficient to understand how well students with disabilities, once in the system, progress. Information on children with disabilities by grade allows for the computation of proxies, and information on repetition is necessary

for accurate computation of promotion/survival or dropout. Ideally, other indicators (e.g. transfers, dropout reasons or exam pass rates) should also be collected for children with disabilities.

BOX 11.5 Fiji Education Management Information System for Recording Functional Difficulties

Compared with children of the same age, does (name of child) have difficulty in the following areas: (no difficulty, a little difficulty, a lot of difficulty, cannot do at all)	
Seeing	Difficulty seeing things close up or far away, like objects, faces or pictures. *If the child wears glasses, does the child have difficulty seeing even when wearing the glasses?*
Hearing	Difficulty hearing sounds, like peoples' voices or music. *If the child wears hearing aids, does the child have difficulty hearing even when using hearing aids?*
Gross motor actions	Difficulty walking or climbing stairs.
Fine motor actions	Difficulty using hands and fingers, such as picking up small objects, a button or pencil, or opening.
Speaking	Difficulty being understood when speaking (in the language that is most usual for the child).
Learning (general)	Difficulty with general intellectual functions, such as learning and remembering. (Includes learning a range of things related to school, play, tasks at home, etc.)
Learning (specific)	Difficulties in specific learning areas within literacy or numeracy; e.g. dyslexia or dyscalculia.* *No difficulty or not applicable = child learns most other things normally or above average
Behavior/attention/ socialization	Difficulty controlling own behavior, and/or focusing and concentrating, and/or accepting changes in routine, and/or making friends.
Emotions	How often does the child seem: very sad and depressed, and/or very worried and anxious?** **Rarely (never or just a few times/year), monthly, weekly, daily)

Source: Fiji MOE, Education Management Information System: Disability Disaggregation Package, Guidelines and Forms, 2017

Typical Data Sources for Education Planning – Suitability for Disability-Inclusive Education

Household Surveys

Household surveys have the advantage of collecting data on children who are both in and out of school. However, it is important to note that sampling frames generally do not include the institutionalized population, nomadic or homeless people, or people in refugee camps. The extent to which these exclusions lead to an undercount of children with disabilities will vary depending on the country. In the past many countries have used questions for identifying disabilities among children that result in significant undercounts or provide widely varying estimates that are difficult to reconcile. For example, asking if children "have a disability" or asking about a list of medical conditions – both of which evidence has shown to yield serious undercounts (Mont, 2007; Loeb et al., 2018). Another approach used is the Washington Group Short Set (WG-SS) of six questions which was designed to collect internationally comparable data on people with disabilities,[16] and for which a growing consensus has emerged (Groce and Mont, 2017). However, while these questions work well for adults, they have been found to miss many children with developmental disabilities (Cappa et al., 2018).

Censuses

Since censuses aim to collect information on everyone in the country, they must be kept relatively short because of the expense of administering them. Therefore, the CFM cannot be used in censuses because of the number of questions it contains, making the census form too long in this context. The best alternative for identifying people with disabilities within a census is the WG-SS, but as noted, this undercounts children with developmental disabilities, and cannot be used for children under the age of five. Combined with the fact that censuses are generally only administered once every 10 years, they are not a very good data source for monitoring the educational experiences of children with disabilities. Even for estimates of overall prevalence among children and patterns of prevalence (by region, sex, ethnicity, etc.) it is important to keep in mind the limitations of the WG-SS. Therefore, generally speaking, for accurate data on children with disabilities it is important to supplement any data collection via a census with survey data that can use the CFM.

Education Management Information System (EMIS)

An EMIS is an administrative data system that collects data from a census of schools on both students and the environment. Some EMIS collect aggregate information on students and schools from teachers and/or school administrators (these usually consist of paper censuses), while others keep track of data on individual students on an ongoing basis (this type of system is referred to as granular, and is electronic). EMIS are used to generate reports on attendance, enrollment, transfers, repetitions and dropouts, and in granular systems may generate learning outcomes and services provided to individual students.[17]

Learning Assessments

Learning assessments can provide information on learning gaps between children with and without disabilities within countries that have granular EMIS that record students' disability status. However, care must be taken because in an inclusive system the learning goals for each student may be different. For example, a student with significant cognitive and emotional difficulties may have social learning goals that are very important for building their human and social capital but are not picked up by standardized learning assessments. Using only standardized learning assessments and not information on whether individual student goals are achieved will underestimate the effectiveness of the educational system.

"Invisible" Children with Disabilities

Even with improved instruments, some children's disabilities can remain undetected by various data sources. First, some children are both out of school and not within the sampling frame of household surveys, either because they are institutionalized, nomadic, refugees or homeless. Second, because of stigma some parents hide their children with disabilities. Surveys that ask about functioning difficulties rather than 'disability' lessen this problem but do not eliminate it. The rate at which children are missed due to these factors can vary greatly by country context. For example, some countries have more institutions than others (for instance, at the end of the Ceausescu regime, there were around 170,000 children, of which many had disabilities, in Romanian institutions) (Nelson, Fox and Zeanah, 2014).

"Invisibility" often intersects with other markers of disadvantage (ethnicity/origin, sex, poverty, etc.). Data sources for these children may depend on their specific profiles, and may include records of institutions, NGOs working with undocumented migrants, specific studies, as applicable. Sometimes children with disabilities that are missed in most governmental databases are catered for by nongovernmental institutions.

Another potential source of under-identification in EMIS is the fact that paper censuses are generally distributed at the beginning of the school year, before teachers may have had the chance to get to know their students. This is especially true when class sizes are large. Students with very visible disabilities can be identified right away, but some of those with developmental disabilities are with more moderate functional limitations may be missed. This is less of a problem in electronic, granular systems where information on children can be easily updated on an ongoing basis.

1.3.2 DATA ON LEARNING OUTCOMES OF CHILDREN WITH DISABILITIES

Children with disabilities also need to be learning and achieving. However, because only limited data is available, very little is known about their learning achievements and outcomes. Possible sources of information include EMIS or similar systems, learning assessments and survey data, as well as examination databases. However, as noted above, these sources often do not collect information on the disability status of children taking the test or exam

– indeed, there is a tendency for schools to exclude children with disabilities from learning assessment surveys, even when these children are in the school system, because of the fear that their scores will be lower and will thus reflect poorly on the education system – especially in cases where teachers' salaries and promotions and school funding are linked to the average assessment scores.

This limited data and evidence around learning achievements and outcomes for learners with disabilities makes it difficult to enact systemic changes to the education system that would improve their learning achievements. Examinations and tests also rarely make the necessary accommodations for learners with disabilities, putting these learners at a disadvantage. In addition, as is sometimes the case with assessments within a particular country's schools system, international assessment tests may also exclude students with disabilities or state that their assessment tools are accessible without providing special accommodations. Box 11.6 provides a proposed checklist to analyze the inclusiveness of a country's learning assessment system.

BOX 11.6 Suggested Checklist of Considerations When Analyzing Country Learning Assessment Systems for Disability Inclusivity

- To what extent do children with disabilities participate in student assessment (national examinations or large-scale assessments) in the country?
- In what ways are the current assessment systems adapted to the needs of children with disabilities?
- What types of accommodations are made for children with disabilities (that need them) when it comes to the assessment of their learning?
- Are there legal provisions regarding the right of children with disabilities to reasonable accommodations (e.g. greater time allowance, larger print, audio, scribe, additional points, exemptions) to take exams/assessments?

Source: Authors

Assuming information on disability is available, some countries will have sufficiently detailed information on learning outcomes of children identified as having a disability as compared to other children to provide useful results. For example, in Pakistan the Annual Status of Education Report (ASER, 2016 and 2018), a citizen-led assessment, used the WG-SS approach to classify disability while administering simple reading and math tests.[18] Countries using the MICS learning module will have data from the CFM that identifies the levels of difficulties children have in a full range or functional domains. This will enable them to assess learning outcomes disaggregated by disability status. When doing so, it may be useful to assess whether results still hold when controlling for other variables including wealth, location and language spoken.

However, not all learning assessment surveys will prove as useful. As with other data sources, one issue relates to the definitions of disability used. In some cases, disability information may be binary (disabled or not) with very different types of difficulties lumped together (e.g. physical and intellectual), making it difficult to interpret results. The total size of the sample may also be an issue, particularly for learning assessment surveys that cover only a sub-sample of the population. It is therefore important, as a first step, to look into the guidelines, definitions or questionnaires to understand how disability was assessed in different data systems (e.g. EMIS criteria/definitions, specific or broad questions to teachers, families or test administrators regarding difficulties or disability status). Further information may also be available that can help the ESA team to assess how respondents understood the questions that were being asked. In some cases, it may be direct information (if respondents have provided details of the student's disability), in others it may be more indirect. Solving such issues in the future requires the provision of clear definitions of disability that also account for what respondents are expected to be able to know of students' difficulties.

1.3.3 DATA ON THE SCHOOL ENVIRONMENT

While data on children can be used to examine gaps in educational outcome indicators by disability status, they offer no information on the barriers creating those gaps and which policies may be most effective in closing these. For this reason, data on the school environment is needed. These barriers include inaccessible physical structures and materials, but also factors like attitudes, institutions, regulations, and human resource training.

Data on Physical and Material Barriers to Learning

When looking at the physical barriers to children with disabilities accessing education, two main issues need to be considered: (i) reaching the school and (ii) accessing school facilities. Some key barriers to participating in school lie outside the responsibilities of the education system – for example, the quality (or existence) of roads throughout the school district and the accessibility of public/school transportation (if any). Physical access within the school is of course crucial, and it is useful to check what questions are included in the country's EMIS questionnaire. Relevant EMIS questions may include information about classroom settings and/or other school facilities, including toilets, recreational areas and health clinics (if any), as well as information regarding whether these are accessible (though in practice many countries don't collect such information) (UNESCO Institute for Statistics, 2019). In addition to physical structures there are also equipment and materials to take into account, including instructional materials such as books (or computers), and any recreational equipment. Ideally, EMIS questionnaires would include questions on a variety of materials and facilities – for example, questions on water and hygiene from UNICEF's WASH monitoring package (UNICEF, 2011).[19]

Data on Human Resources and Services

Many administrative data systems (including EMIS and/or human resource databases) contain extensive information about school staff. This includes not just aggregate numbers

but the specific qualifications of each staff member. Data may include highest education level achieved and type of degree, personal information on age and gender, employment history, job title, salary scale and/or number and type of classes taught. However, this rarely includes information specific to disability, apart from specialized teachers in school. In the long run, questions on teachers' in-service training on teaching children with disabilities could be included to fill in this gap.

In many countries, specialized services for those children with disabilities who need them are rarely, if ever, available. However, it is useful to have information in the EMIS system where such services are available (or their extension is foreseen) so that use and effectiveness of those services can be monitored and evaluated. Services relevant to disability may include special tutoring or assistance inside the classroom by an aide or other teacher, resource centers within schools, tutoring or assistance outside of the classroom, physical therapy, speech therapy, occupational therapy, counseling, Braille instruction, sign language instruction, glasses, hearing aids, wheelchairs or tricycles, canes, walkers or similar devices, or prosthetics.

State of EMIS Data on the School Environment

Though some countries have collected measures of the school environment in household surveys, the questions are often incomplete or problematic (UNICEF, 2016). The UNICEF/WG Module on Inclusive Education, a collaboration between UNICEF and the Washington Group, was developed to resolve this.[20] Designed to collect data from parents on attitudes towards disability, the accessibility of schools (physical and informational) and affordability, the module also asks about the reasons for not attending school.[21]

All EMIS collect information on the school environment although to different degrees. This includes information on facilities, materials and human resources. Unfortunately, data on accessibility and the capacity to provide an inclusive environment is significantly rarer than data on the disability status of students. UNICEF's guide to an inclusive EMIS provides recommendations for what type of data should be included and how EMIS can be adapted to include that information (UNICEF, 2016; UNICEF, 2014b). Mandatory questions deal with accessibility of the school's entrance, toilets (see Table 11.3 for an example) and teacher training.

Much more information can potentially be collected – for example on school materials – by making simple modifications to the EMIS. Table 11.4 shows an example of an existing EMIS form that was modified to include information on accessibility – adding a column to record accessibility and adding a few rows to record the presence of assistive devices. Questions on the environment, of course, need to be suited to the country context. For example, in a country with no hearing aids it makes no sense to ask about the existence of an audio loop. The Fiji EMIS (Fiji MOE, 2017), which is elaborated in the discussion that follows, is a good example of an EMIS that collects extensive information on all aspects of the school environment.

TABLE 11.3 Minimum Questions on Toilets for Inclusion in an EMIS

Does the school have any toilet facilities? (Yes=1, No=2)		
If *yes*… How many toilet compartments are there in the school for children?		
	Functional	Not Functional
Exclusively for girls		
Exclusively for boys		
For boys or girls (communal toilet compartments anyone can use)		
Are toilets accessible to children with physical disabilities? (Yes=1, No=2)		
Do teachers have their own toilet facilities separate from children? (Yes=1, No=2)		
If *yes*, are the teachers' facilities accessible to a person with physical disabilities? (Yes=1, No=2)		

Source: Authors

TABLE 11.4 Sample Questions on Materials for Students with Disabilities

General Material or Equipment Does your school have …	Yes=1, No=2	Accessible (Yes=1, No=2)
Recreational equipment		
Water cooler		
Computers		
Blackboard		
Special Materials or Equipment		
Special Materials or Equipment Does your school have …	Yes=1, No=2	High quality =1 Average quality=2 Low quality=3
Braille books		
Audio books		
Hearing loop		
Modified furniture		
Assistive devices for gripping (e.g. for pencils)		
Handrails		
Computer screen readers		
Large, easy to read signage		

Source: Authors

1.3.4 COMBINING DATA SOURCES

Creating a comprehensive data system to analyze and monitor the inclusivity of an education system is essential for meeting the goals of the CRPD. In Fiji, the student learning profile and school assessment forms from the EMIS are used to develop individual education plans for each student. When needed services or accommodations are not available for students with disabilities, these are entered into the system and automatically feed into the budgeting system – enabling the EMIS to produce reports that monitor students' needs, how those needs are being met within the school, and the cost of meeting unmet needs (Mont and Sprunt, 2019). In an attempt to resolve the lack of information generally on children not in school, Fiji has recently committed to fielding the MICS with the CFM – and because the approach to identifying children with disabilities is similar in the Fiji EMIS and the CFM, comparisons can be made between children in and out of school. Furthermore, because children have individual education plans, learning assessments can be made using both standardized measures of learning as well as tracking what individual learning goals are met that are important for each child's individual development. This is an example of how a data system can be created to meet all the informational needs to support disability-inclusive education.

Table 11.5 summarizes the types of data that can be collected from various sources, and their strengths and weaknesses. Annex 11.7 elaborates on this, providing an overview of the main data sources available for information on the education of children with disabilities, based on an assessment of a large sample of data systems, as well as how these data can be used (including their limitations).

In assessing the usefulness of the data sources in a particular country the following should be considered:

1. Which data sources are available, and how recently has the data been collected?
2. Is the definition of disability appropriate, and is it consistent across data sources?
3. Does information include only in-school children, or OOSC as well (or in the case of segregated systems, does it include children in special schools or in institutions)?
4. Is there data on both children with disabilities and the environment?

Note that once quality data on disability is included in surveys and administrative data, all standard educational indicators can be disaggregated by disability status to determine if there are any educational gaps between children with and without disabilities.

TABLE 11.5 Uses of Different Data Sources

Type of information	EMIS	Surveys and Censuses	Learning Assessment / Examinations
Prevalence in population	Not applicable.	Surveys can provide good data with use of the CFM. Censuses will lead to underestimates because space constraints prohibit use of CFM.	Not applicable.
Enrollment and attendance	Can track number of children attending but not attendance rates because OOSC not included.	Surveys can provide good data with use of the CFM. Breakdowns by type and degree of disability only possible with sufficiently large sample sizes.	Not a preferred source but can track number of children attending. Cannot track attendance rates because OOSC not included.
Progression and dropout rates	Possible in EMIS with individual student records.	Surveys can potentially provide good data with use of the CFM.	Yes, but may be problematic if children with disabilities are assessed differently.
Learning	Yes, but may be problematic if children with disabilities are assessed differently.	Not a good source.	Yes, but may be problematic if children with disabilities are assessed differently.
General information on the physical environment	Already collected in most cases.	Can be collected from parents of in-school children. Upcoming UNICEF/WG module addresses this.	Not the appropriate source.
Adaptations and materials for disability	Can be included in EMIS. See UNICEF guidelines, OpenEMIS, and Fiji EMIS for examples.	Can be collected from parents of in-school children. Upcoming UNICEF/WG module addresses this.	Not the appropriate source.
Staff Specializations and training: pre- and in-service	Some information already collected; can be adapted to focus more on inclusion.	Not a possible source.	Not the appropriate source.
Attitudes towards children with disabilities	Not the appropriate source.	Can be collected from parents of in-school children. Upcoming UNICEF/WG module addresses this.	Not the appropriate source.

Source: Authors

1.4 Costs and Financing

Financing disability-inclusive education should be a top priority for countries if children with disabilities are to exercise their right to education without discrimination and on the basis of equal opportunities (European Agency for Special Needs and Inclusive Education, 2016).

A first step before plans can be made regarding future financing of disability-inclusive education is to assess the costs of existing systems for the education of children with disabilities. It is difficult to move the disability-inclusive education agenda forward without

also discussing how much it will cost and how it can be funded. When doing so, it is worth keeping in mind the following:

- Disability-inclusive education, as defined in the introductory section, is commonly believed to be costly, even though little is known about it, thus limiting the commitment of decision-makers to take action. With its growing interest since the adoption of the SDGs, knowing how much disability-inclusive education really costs[22] appears necessary to convince decision-makers about its affordability and to promote its implementation.
- With often limited education budgets and given the number of challenges to address, priorities are (or can be) directed away from inclusive education, with children with disabilities and children from marginalized groups often being the last in the line for support. Many developing countries do not have specific budget allocation for children with disabilities or for special education.[23] Examples of cost-effectiveness of disability-inclusive education appear to be essential for reversing this trend, and this cannot be achieved without a good knowledge of the costs and the benefits of disability-inclusive education.[24]
- Ensuring inclusive, equitable and quality education for all is not only a matter of cost, but also of financing. While a good knowledge of the costs is required to identify gaps and challenges in financing disability-inclusive education, it is equally important to know the financing mechanisms and flows already in place in order to commit the different stakeholders (government, private sector, development partners, etc.) on where and how to invest to support disability-inclusive education.

Regular ESAs, however, do not often provide details on the cost and financing of disability-inclusive education. The aim in this section is thus to provide some guidance on the analyses to carry out and on the methodological approaches to follow for a good understanding of issues related to these crucial aspects of disability-inclusive education.

1.4.1 DISABILITY-INCLUSIVE EDUCATION EXPENDITURES

Inclusive education, as a human right, is priceless, but has a cost that needs to be known and examined for planning and implementation purposes. Examining the cost of disability-inclusive education requires looking into the following in particular:

- *The general trends in education expenditures over recent years:* this is an essential starting point to understand the context of education expenditures and the priority given to education.
- *The way disability-inclusive education is reflected in these expenditures:* beyond the general trends, it is also essential to understand how disability-inclusive education is accounted for in education expenditures.

- *The true cost of disability-inclusive education, as per national policies:* finally, regardless of how disability-inclusive education is reflected in education expenditure, it is crucial to question whether these expenditures meet the needs, as per the disability-inclusive education policy.

Of course, education expenditures should be aiming to improve the whole system with a disability-inclusive lens. To that end, a number of analyses can be carried out, but they all require first breaking down education expenditures in order to identify and extract expenditures made with a disability-inclusive lens. This can be challenging, as it requires a detailed executed budget, which is not always available. Even when the details are available, budget lines and items do not often indicate clearly whether expenditures made are for disability-inclusive education. Items related to disability-inclusive education in the expenditures lines need to be given consideration. Below are some examples:

- *Special schools or specialized classes in regular schools:* some budgets may refer directly to the spending made for special schools or specialized classes in regular schools. This is usually the most visible budget line when countries begin looking at how much they spend on education of children with disabilities. It thus becomes possible to determine how much was spent in total on special schools or specialized classes in regular schools and how this compared to the total education budget.
- *Disability screening/health assessment:* this item is not readily visible in education budget lines, and may even be borne by ministries other than education (such as health). Regardless of where it is located, determining how much was spent on early assessment/referral systems, as well as the cost per child, is essential.
- *Accessibility:* this item can be found in capital expenditures – the main difficulty being the problem of disaggregation, since it is not always easy to separate the cost of school buildings and the cost of accessibility facilities (such as ramps), except in the case of facility upgrades to buildings. It would be beneficial to estimate, as far as possible, what was spent for accessible school buildings (including accessibility facilities as per disability-inclusive education) as compared to the traditional buildings. It is necessary to also identify how much was spent on retrofitting existing schools to promote accessibility for all students, as well as on other efforts to ensure that children with mobility difficulties can reach schools (transport vouchers; adaptation of existing school transportation; safety mechanisms; provision of aids and adaptations to facilitate travel to school).
- *Aids, materials and equipment:* these items may be found in capital expenditures as well as in recurrent expenditures. The main difficulty here is to identify what has been spent on equipment and assistive devices to ensure disability-inclusive education. Assuming the level of disaggregation of expenditure lines allows for it, it would be ideal to estimate how much was spent on equipment, aids and assistive devices for disability-inclusive education, including the cost of supplementary materials.

- *Staffing:* it is necessary to estimate what was spent in terms of staffing for disability-inclusive education. This may refer to specialized male and female staff (for special assistance to children that need it or extra support to teachers) in inclusive settings. Numbers of specialized staff can normally be found in human resource records; for salaries, standard or average salaries for similar staff (e.g. teachers or administrators or health care staff) can be used.
- *Training:* what was spent for pre- or in-service training related to children with disabilities needs to be taken into consideration. This may include training costs for teachers, school principals and other relevant staff, as well as the cost of adaptation of pre- and in-service training programs for teachers to work in disability-inclusive educational environments. In the case of difficulty identifying the appropriate cost incurred in expenditures lines, training costs related to children with disabilities can be assessed by estimating them as a percentage of total training costs (e.g. if specialized training is 10 percent of the length of standard training, then costs can be estimated at 10 percent of standard training costs).
- Other items to consider when estimating what was spent towards disability-inclusive education include *curriculum* and *assessment* (development of national standards for disability-inclusive education, review and revision of assessment processes); *sensitization* (campaigns to promote disability-inclusive education policy and address social norms, support programs for parents to sensitize and raise awareness); and *social interventions* (cash transfers, scholarships, social protection programs and other financial support). These costs, as well as any additional costs specific to a particular country context, will also become important when analyzing the financial barriers that families of children with disabilities face with regard to education (see Section 4.2).

Conducting an analysis in this manner (i.e. considering all items relevant to the country's context and to its disability-inclusive education policy, where applicable) enables the ESA team to ascertain how disability-inclusive education is reflected in education expenditure, as well as the most expensive items and the level of spending per child in general.

EXAMPLE 11.2

(Estimating IE Expenditure and Unit Costs): Education Expenditure for Inclusive Education and Children with Disabilities, in Special and Regular Schools, Ghana, 2015

Source: Adapted from Ghana MOE & UNICEF, 2018

Overall, Ghana presents a favorable fiscal context for education, with total recurrent education expenditure having undergone a real average annual increase of 8.7 percent over the 2008-15 period, to reach 22.5 percent of total government expenditure. This positions Ghana as one of the Economic Community of West African States (ECOWAS) countries placing greatest priority on education, with domestically financed expenditure equivalent to 6.1 percent of GDP.

Piloting the methodological approach to the analysis of disability-inclusive education in Ghana involved a specific estimate of IE recurrent expenditure in the 2015 education budget, based on

the actual expenditures made. Children with disabilities are enrolled in both special and regular schools. Estimating the investment in IE in special schools was fairly straightforward, but estimating the investment in IE in regular schools involved a process of restructuring and splitting recurrent education expenditure, as presented in Table 11.6 below.

As very limited information on these expenditures was found to be available in the education sector performance reports (ESPRs) and EMIS, it was not possible to specifically identify expenditure on schools equipped with assistive devices and disability-friendly infrastructure and facilities, for instance (see Box 11.7 below). The ESA team therefore used a simple pro-rata approach, estimating the share of expenditure based on the share of children with disabilities in total enrollment.

TABLE 11.6 Public Recurrent Expenditure for Inclusive Education and Children with Disabilities, Ghana, 2015 (in Million Cedis)

	TOTAL RECURRENT EXPENDITURE					CwD EXPENDITURE		
	SCHOOL LEVEL		CENTRAL/ DECENTRALIZED LEVELS					
	Regular schools	Special schools	Total, except Special Education Division	Special Education Division	TOTAL	Special schools	Regular schools	TOTAL
Preschool	433.4	3.7	55.6	0.4	493.0	4.1	1.3	5.3
Primary	1 266.5	15.1	164.5	1.5	1 447.6	16.6	5.2	21.8
Junior high school	1 684.5	9.2	223.1	1.0	1 917.9	10.3	6.6	16.9
Senior high school	1 566.9	1.4	123.2	0.1	1 691.6	1.5	1.8	3.2
TVET, Tertiary, Non Formal	1 997.4	n/a	180.1	n/a	2 177.5	n/a	n/a	n/a
TOTAL	**6 948.7**	**29.4**	**746.5**	**3.0**	**7 727.6**	**32.4**	**14.8**	**47.2**

Findings:

Public recurrent expenditures for inclusive education were estimated at 47.2 million cedis in 2015, out of the 7.7 billion cedis total recurrent education expenditure. This includes 32.4 million cedis for special education (29.4 million cedis directly to schools and 3 million cedis to the Special Education Division), and an estimated 14.8 million cedis spent on providing education to children with disabilities in regular schools.

Overall, expenditure on children with disabilities (CwD) is equivalent to 0.6 percent of total recurrent education expenditure, on average. This figure varies slightly by level of education, ranging from 0.2 percent for senior high school, to 1.5 percent for primary, with 1.1 percent for preschool and 0.9 percent for junior high school.

By linking the above figures to children with disabilities enrollment numbers in both regular (approximately 18,203) and special schools (5,964), it appears that in 2015, the average recurrent unit cost of inclusive education was about 1,400 cedis in preschool, 1,600 cedis in primary, and

3,100 cedis in junior high school and senior high school. This suggests a higher unit cost than that of children without disabilities in regular schools, being driven primarily by higher unit costs in special schools.

Indeed, the unit cost of educating a child with disability is about 5,400 cedis in a special school, against approximately 800 cedis in a regular school. While these findings suggest that educating children with disabilities in mainstream classrooms is more financially sustainable, the lack of data implies that unit costs computed for regular schools are underestimated, failing to account for specific expenditure items required to ensure that disabilities are addressed in ways that enable children with disabilities to learn optimally.

1.4.2 THE COST OF DISABILITY-INCLUSIVE EDUCATION AS PER NATIONAL POLICY

Regardless of how disability-inclusive education is reflected in education expenditure, costing it as per national policies is crucial to ensure that these expenditures are in line with national policies on disability-inclusive education.

Costing disability-inclusive education in this way requires taking the following into consideration:

- *The requirements of disability-inclusive education, as per national policies:* this is an essential starting point that aims to define and map the different items needed to achieve disability-inclusive education, in accordance with national policies. To facilitate this costing exercise, it is therefore crucial to ensure a complete and exhaustive review of the items needed for achieving disability-inclusive education, as well as possible strategies for their implementation.
- *The unit cost attached to each item of requirements:* once the requirements and the strategies for their implementation are defined, it is time to find the unit cost attached to each item. In order to make the costing reliable, it is important to ensure that unit costs reflect reality and take into account context specificities (e.g. unit costs for certain items that are new to the country or not readily available, such as certain assistive devices, may cost more in one country than in another).
- Where unit costs come from pilot experiences, it may be necessary to cross-check their validity with different sources such as standardized and official unit costs and market prices, as prices may have since changed or prices set in the pilot may not have been realistic.

BOX 11.7 Requirements for Estimating Costs of Inclusive Education as per National Policy

In the course of the piloting exercise in Ghana, the following items were considered to be necessary for the effective implementation of disability-inclusive education, in line with national policy, although it was not possible to locate detailed information on their unit cost, or expenditure:

1. *Early assessment:* includes a basic screening for all children ideally at the beginning of the school year, and a further diagnosis for those identified as having impairments.
2. *Assistive devices:* assistive devices to be provided according to disability, for all children with disabilities.
3. *Accessibility of school infrastructures:* upgrades of existing buildings with ancillary facilities when possible; new buildings to be built henceforth with all ancillary facilities included.
4. *Sensitization:* includes sensitization of all children (and particularly those without disabilities), as well as of parents, communities and other stakeholders.
5. *Capacity building of teachers:* capacitate in-service teachers through in-service trainings, and new teachers in pre-service teacher training programs.
6. *Teaching and learning materials:* all classrooms/schools to be provided with teaching and learning materials to support disability-inclusive education, in accordance with the types of disabilities of children.
7. *Curriculum and assessment review:* includes development of national standards for disability-inclusive education, as well as review and revision of assessment processes accordingly.
8. *Social interventions:* includes feeding grants, cash transfers, scholarships, social protection programs and other financial support.

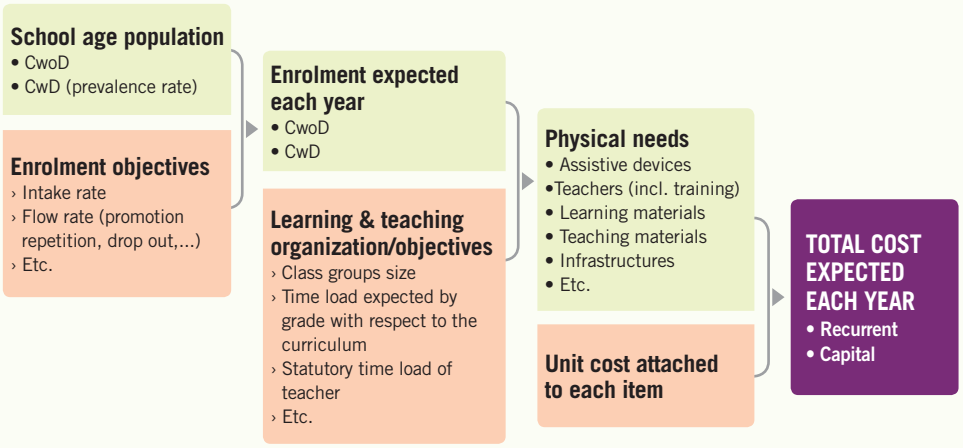
Source: Ghana MOE & UNICEF, 2018

Box 11.7 provides a list of requirements for which costs would ideally be available, or that could be included in a financial simulation model enabling the accurate estimation of a disability-inclusive budget, based on the outcome of brainstorming sessions held with stakeholders in Ghana.[25] Box 11.8 offers a simplified schematic of the elements that might be included in a financial simulation model.

This costing exercise has a significant implication for educational policy. Ascertaining the items needed for achieving disability-inclusive education and the unit cost attached to each provides an indication of the true cost to be covered to ensure disability-inclusive education as per national policy. It also provides opportunities to discuss how disability-inclusive education in accordance with national policies can be funded and, if necessary, how the cost can be made more affordable, such as alternative implementation options or better-priced items (Section 1.4.3 explores this further).

BOX 11.8 **Including Disability-Inclusive Education/Children with Disabilities in Financial Simulation Models**

The focus is to have a simulation tool that will be able to evaluate the financial and physical implications of ensuring disability-inclusive education by leaving no one behind, regardless of disability. To that end, the tool can be adapted around a number of key pieces as shown in the simplified scheme below.



1. *Disaggregate the school age population.* With demographic trends and disability prevalence rate, it is possible to estimate how many children with disabilities (CwD) and how many without disabilities (CwoD) are school aged[26] and how many the system should expect to receive.
2. *Reflect specific IE learning and teaching organization.* Depending on how learning and teaching conditions will be organized (class groups size, teaching time load, etc.), it is possible to define different operating needs, including infrastructures, inclusive environment facilities, trained and qualified teachers, learning and teaching materials, etc.

Note: It may be useful to split the total cost into recurrent costs and capital costs.

Source: Adapted from Ghana MOE & UNICEF, 2018

1.4.3 DISABILITY-INCLUSIVE EDUCATION FINANCING SOURCES AND PERSPECTIVES

Disability-inclusive education is of course not only a matter of cost, but also of financing. It is therefore important to cover financing aspects when analyzing disability-inclusive education issues. Examining how disability-inclusive education is and can be funded requires an understanding of the following in particular:

- *The main sources of funding:* this is an important starting point to understand the general context of disability-inclusive education financing, by highlighting the main funders of disability-inclusive education and how much is spent by each.
- *The challenges in directing resources:* while it is important to know the main sources of funding for education, it is even more crucial to question whether these resources are directed with an inclusive lens and what the challenges are.
- *Possible alternatives for improved funding:* with the challenges in mind, alternative perspectives for future funding of disability-inclusive education can be explored.

To examine the extent to which resources for education are directed with an inclusive lens, it is useful to start by looking at the structure of the education budget and to determine whether budget lines and corresponding allocations are inclusive-responsive and in line with the national disability-inclusive education policy (as discussed in Sections 1.4.1 and 1.4.2). This review is a base from which to understand the following:

1. Which education budget lines and corresponding allocations are inclusive-responsive or in line with national commitments in favor of disability-inclusive education (if applicable)?[27]
2. How are activities in line with disability-inclusive education currently financed?
3. What are the main challenges in directing resources towards disability-inclusive education?

It can be useful to conduct surveys or focus group discussions (FGDs) with key stakeholders to better understand the issues and challenges that prevent the directing of resources towards disability-inclusive education.[28] Survey questionnaires or FGDs should also address budgeting processes, and how relevant actors are involved in these, to ascertain to what extent resources for education are inclusion-responsive.

With the challenges identified, the analysis should then seek to define possible perspectives for improving resources and providing sustainable financing for disability-inclusive education. While country contexts differ, there are a number of general perspectives to consider:

- *Increase domestic financing for disability-inclusive education.* Sustainable financing of disability-inclusive education needs to come primarily from domestic resources, and rely less on external funding. This is possible by widening the tax base, preventing tax evasion and increasing the share of budget allocated to education (to reach inclusive commitments), as well as developing taxes earmarked for disability-inclusive education.
- *Evolve towards inclusive-responsive budgeting.* Promoting disability-inclusive education sector planning as well as engaging parliament and relevant stakeholders involved in budget preparation and approval can be a good start for allowing for inclusive-responsive budgeting.

- *Ensure efficient use of existing resources.* Greater financing of disability-inclusive education is not only the result of increasing resources, but also a strategic use of existing resources, by targeting those in most need.
- *Ensure budget transparency and accountability mechanisms.* The former enables clarity as to how and where stakeholders (private sector, donors, etc.) may invest in order to fill any gaps in funding for disability-inclusive education, while the latter strengthens credibility in the eyes of these stakeholders.

In addition, different perspectives on fina, additional perspectives on financing options that take into account country-specific challenges will need to be developed to support disability-inclusive education implementation.

SECTION 2 Participation of Children with Disabilities in Education

This section focuses on the participation of children with disabilities in education, particularly in comparison to children without disabilities. Indeed, OOSC are of particular concern and often do not appear in administrative data. Thus this section looks initially at challenges in data collection – such as how existing surveys are set up; limited models or definitions of disability that tend to underestimate or overlook the true instance of OOSC with disabilities, and groups of children that tend to be missing from more traditional collection or sampling methods (e.g. children who are institutionalized, homeless, staying in refugee camps, living a nomadic lifestyle, or in some other living arrangement). The section also looks at access to early learning for children with disabilities – and the importance thereof for future cognitive and social development, while noting that at this point in time the information on the availability of early learning for children with disabilities is limited.

2.1 OOSC Comparisons between Children with and without Disabilities

When questions on school attendance are included in a household survey, estimates of the number of OOSC as well as descriptions of their characteristics can be generated, including their disability status. However, as mentioned in the previous section, children who are institutionalized, homeless, staying in refugee camps, living a nomadic lifestyle, or in some other living arrangement that lies outside a typical survey sampling frame, will be missing

from OOSC estimates unless specific data collection efforts are undertaken to include them. For example, Vietnam's recent national disability survey was supplemented with a census of institutions to correct for the fact that their sampling frame excludes these (UNICEF Vietnam and GSO of Vietnam, 2018). Other methodologies can be used to make estimates of the homeless population, for example snowball sampling and key informant interviewing (Dávid and Snijders, 2002; Berry, 2007). A number of different studies, initiatives and projects have also looked specifically within this group (institutionalized, homeless, refugee, nomadic/other) to identify people with disabilities.[29]

In Armenia, when a child successfully applies for disability benefits, their information is added to the EMIS, regardless of whether they are enrolled in school or not. Thus, the Armenian EMIS contains all children in school as well as those receiving disability benefits (whether they are enrolled or not). This provides some indication of which children with disabilities, and with which kind of disabilities, are out of school. However, children who are out of school and not receiving disability benefits are still missing.[30]

If questions on school attendance are not included in a survey that aims to identify children with disabilities the next best method is to compare the disability prevalence rate in the general population to the percentage of children identified as having a disability in the EMIS. However, this can only be done if both the survey and the EMIS use the same methodology for disability identification, and even so would only provide a rough indication, especially if there is a significant time gap between when the survey and EMIS data were collected. If no data is available at all, a rapid survey of a small, non-representative sample of schools (say around 15 schools) may be undertaken to fill in the gap in available data.[31]

2.1.2 SAMPLE SIZE AND OOSC COMPUTATIONS

A large household survey with ample sample size (e.g. around 50 children with disability per single age) will allow for reasonable estimations of OOSC with disabilities using the same method as for the general population.[32] Palestine (see Example 11.3) is an example where these traditional computations methods can be used to assess the educational status of children with disabilities. The Palestinian survey provides information on children with disabilities in and out of school, with the reasons for being out of school. Given that late entry into school may be more common for children with disabilities than for other children, it is important to assess, if feasible, what proportion of OOSC with disabilities have never been to school. It is also important to look into different types of disability and identify whether subgroups of children (e.g. girls with a disability, or rural disabled children) have different education prospects than others.

EXAMPLE 11.3

(Estimating OOS Children with Disabilities Numbers): Out of School Children and Disability, Palestine, 2011

Source: Adapted from Palestine Disability Survey, 2011

Palestine undertook a disability survey in 2011, including the WG-SS. Data includes information on sex, location, refugee status, etc., and thus allows for in-depth analyses, including estimates of late entry and comparison between subgroups of children with disabilities (see Table 11.7).

TABLE 11.7 Out of School Children with and without Disability in Palestine (West Bank and Gaza)

	% of out of school children (6-18 years old)	% dropouts (6-18 years old)	% children expected never to enter school	% of children expected to enter school late
Children without a disability	4.3%	4.0%	0.06%	2.0%
Girls without a disability	2.8%	2.5%	0.05%	1.9%
Children with a disability	34.0%	10.1%	21.9%	31.3%
Girls with a disability	39.0%	9.0%	28.0%	21.2%
Children with a communication disability	61.3%	5.3%	54.5%	14.3%
Children with a vision disability	21.0%	7.4%	10.7%	39.3%
Registered refugees with a disability	32.2%	10.0%	21.2%	42.9%
Non-refugees with a disability	36.6%	9.9%	23.8%	17.3%

Findings:

Out of approximately 2,000 children for each year within school range, about 40 children with disability per single year of age were identified, keeping in mind that the WG-SS under-identifies children with developmental disabilities.

A third of children with disabilities are not in school, with over one in five children with disabilities never having set foot in a classroom. In addition, not all children with disabilities have the same opportunities: the barriers are greatest at school entry for children with a communication disability and lowest for children with a vision disability. Girls and boys with a disability do not face the same challenges either: while Palestinian girls overall have better education outcomes than boys, when it comes to children with disabilities, girls are significantly less likely than boys to have ever entered school. In addition, registered refugees with a disability have a higher likelihood to attend school on time than non-registered refugees.

In total, 90 percent of children who will never enter school have a disability; this is the case for 43 percent of primary and 23 percent of lower secondary school aged OOSC. Children with disabilities make up 17 percent of late entries into school, 11 percent of primary dropouts and 8 percent of lower secondary dropouts. It will be very difficult for Palestine to further reduce out of school numbers without addressing the issue of inclusive education for children with disabilities.

When sample sizes do not allow for the type of estimations shown for Palestine, other approaches can be taken to gather some insight into OOSC with disabilities. Samples may be large enough to look at the share of secondary school aged children who have never been to school by disability status.

When looking at past disability surveys, the number of children identified as having a disability is often quite small. For example, in 2008 a survey in Tanzania found only about 140 children with a disability out of about 1000 school-aged children. However, the vast majority of these surveys have used either poor indicators for disability or have relied on the WG-SS, which does not work as well for children as for adults. Still, the Tanzania study showed that children with disabilities are the most disadvantaged with regard to never having attended school (over half of 14- to 17-year-old children with disabilities compared to 10 percent of the whole population). Dropout rates are also higher for children with disabilities in the 7 to 13-year-old age range (10 percent of children with disabilities drop out compared to 3 percent for the whole population). As a consequence, 85% of 14- to 17-year-old children with disabilities are out of school.

2.1.3. MODELS OF DISABILITY USED AND OUT OF SCHOOL RATES

Another significant issue is that the model of disability used influences the results and their interpretation, a crucial consideration when making international comparisons. Different definitions of disability and data collection instruments will identify different populations of children with disabilities.

The cut-off used for identifying disability is also very important. Human functioning is not a binary variable. Difficulties with functioning exist along a continuum, but a cut-off, or threshold, sometimes must be drawn to divide the population into those with and without a disability. Where that threshold is drawn can vary depending on the purpose for drawing it. The lower the threshold, the more children will be identified as having a disability, but since they on average will have fewer difficulties, the average outcome gaps between them and the children not identified as having a disability will be smaller.

The Palestine example illustrates the consequence of different definitions. If all 6- to 18-year-old children with at least some difficulty in one area (e.g. seeing, hearing) were counted as having a disability, then 16.7 percent of them would be considered to be out of school. If children with at least a lot of difficulty in one area were counted (this is the definition used in Example 11.3 above), then 34 percent would be considered to be out of school. If only children who cannot perform the activity at all (e.g. cannot see, hear, walk, communicate, take care of themselves, or remember or concentrate) were counted, then a full 68.5 percent of them would be considered to be out of school.

For this reason, when statistics on disability use a different model or data collection instrument, results will be affected. Before any interpretation it is important to go back to the definition. Differences may relate to the level of disability that is considered but they may also be even more complex. For example, in some countries conditions (such as albinism) are considered a disability even when they have no functional implications because of the intense stigma associated with them. Therefore, using the results as a starting point for discussion of what they mean in the specific country context may be as important as computing the actual figure.

TABLE 11.8 Out of School Rates for Children with and without Disabilities in Selected Countries

	Primary School Age					Secondary School Age				
Country	Total OOSC rate	Non-disabled OOSC rate	Disabled OOSC rate	Dropped out (disabled)	Never attended* (disabled)	Total OOSC rate	Non-disabled OOSC rate	Disabled OOSC rate	Dropped out (disabled)	Never attended* (disabled)
East Asia and the Pacific										
Indonesia	5.1%	5.0%	54.1%	48.7%	5.4%	30.9%	30.8%	80.9%	55.3%	25.5%
Papua New Guinea	33.7%	33.6%	51.6%			42.5%	41.8%	84.5%		
Vietnam	4.5%	4.3%	29.2%			19.1%	18.6%	68.9%		
Europe and Central Asia										
Albania	10.6%	10.1%	72.4%			16.5%	16.2%	53.6%		
Latin America and the Caribbean										
Saint Lucia	1.9%	1.7%	25.6%	22.5%	3.1%					
Middle East and North Africa										
West Bank & Gaza	2.5%	2.0%	32.0%	28.1%	3.9%	17.6%	16.9%	50.6%		
South Asia										
Bangladesh	15.2%	14.9%	63.1%			28.2%	27.9%	74.0%		
India	11.8%	11.6%	45.1%	38.2%	6.9%	39.3%	39.2%	61.2%		
Maldives	1.3%	0.9%	10.0%	10.0%	0.0%	6.6%	6.2%	14.6%	5.2%	9.4%
Sub-Saharan Africa										
Ethiopia, rural	34.4%	34.1%	64.4%			47.5%	47.0%	98.0%		
Malawi	13.4%	13.2%	44.0%			21.8%	21.6%	68.0%		
Nigeria	18.8%	18.6%	69.1%			18.4%	18.3%	27.6%		
South Africa (2013)	0.7%	0.5%	6.9%	6.1%	0.9%	9.8%	9.5%	33.3%	18.2%	15.1%
South Africa (2011)	3.4%	3.2%	7.0%	3.4%	3.6%	12.1%	11.9%	20.7%	6.8%	13.9%
Tanzania (2010-11)	14.0%	13.7%	56.6%			49.7%	49.6%	59.3%		
Tanzania (2008)	19.3%	18.8%	58.4%			41.5%	40.9%	84.0%		
Uganda (2011)	10.5%	10.3%	17.8%	16.9%	2.2%	20.6%	20.2%	35.8%	15.5%	20.3%
Uganda (2010-11)	14.0%	13.7%	39.7%			20.1%	19.8%	42.4%		
Mean	**12.0%**	**11.7%**	**41.5%**			**26.0%**	**25.7%**	**56.3%**		

** Including both children who will never attend school and children who will enter late*

Source: Mizunoya, Mitra and Yamazaki, 2016

As noted, comparisons between countries can be difficult as different definitions even within the same country produce different results. However, meaningful comparisons can be made if countries use the WG-SS or the CFM. Table 11.8 provides out of school statistics from a variety of countries using the WG-SS.[33]

2.2 Access to Early Learning for Children with Disabilities

There are proven benefits of quality early learning for children with or without disabilities. The advantage of preschool education is even more significant for disadvantaged children, in particular children with disabilities (Bailey and Powell, 2005; Guralnick, 2004' see also Section 3.1 for a discussion on the importance of disability-inclusive early learning programs). However, the information on the availability of early learning for children with disabilities is limited.

Surveys do not always include preschool level as an option within questions on children's schooling status, or sometimes include it with "no education". Issues of sample size therefore tend to become more acute than at higher levels of education because the target population (preschool age population) is smaller than, for example, the primary school age population, reducing the statistical power of any estimates. This compounds with greater under-identification of children with disabilities at younger ages to make the number of children recorded as having a disability and attending preschool in existing samples often minimal or nonexistent.

Administrative data (e.g. EMIS) may also be mobilized if data on preschool attendance for children are included in the system – at least for public preschools. Private preschools or early learning services are sometimes not provided within the public school system. When EMIS data is available, it can be useful to compare the number and share of children with disabilities in preschool education with the number and share of children with disabilities in the first grades of primary school to get a feel of whether barriers to access and/or identification of children with disabilities are more acute in preschool or primary education. Often times parents are not aware of a child's disability (or mis-identify it, for instance as a learning difficulty instead of as a hearing difficulty) until the child is no longer of preschool age. However, administrative data for preschool education tends to be far more limited than data for the primary or lower secondary grades, so very few countries will have this information.

Other possible sources of information could be learning assessment surveys, when these have information both on early learning and disability. However, the quality of the information on disability captured in such surveys may be very poor, making it necessary to first assess the reliability of the data before using or drawing any conclusions from it.

Of equal importance are the educational opportunities available to children with disabilities who complete the primary cycle. Example 11.4 below provides an example of participation of children with disabilities in secondary education in Lesotho.

EXAMPLE 11.4

(Postprimary Education Opportunities for CwD): Children with Disabilities in Secondary Education, Lesotho, 2013

Source: Adapted from Lesotho EMIS, 2013 and 2014

The table below shows the share of students recorded as having a disability in different forms of secondary education in Lesotho, by type of disability.

TABLE 11.9 Share of Students Having a Given Type of Disability, out of all Students in a Given Form

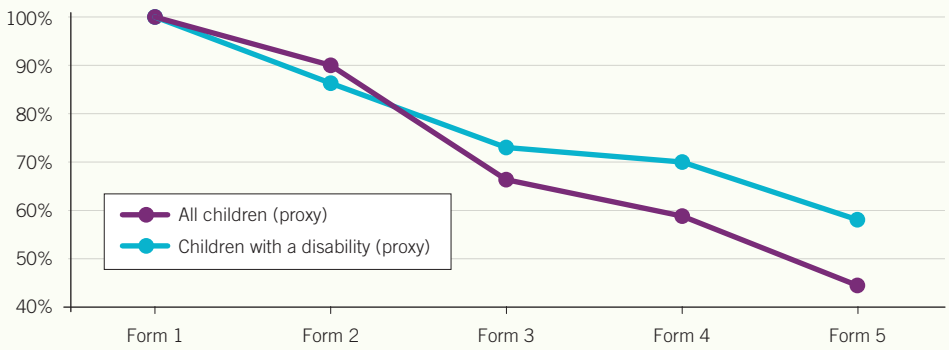
Type of disability	Form 1	Form 2	Form 3	Form 4	Form 5
Hearing impairment	0,95%	1,00%	1,03%	1,16%	1,25%
Intellectual disability	1,49%	1,39%	1,59%	1,39%	1,10%
Other	0,80%	0,69%	0,92%	0,87%	0,86%
Physical disability	0,35%	0,31%	0,37%	0,24%	0,33%
Visual impairment	2,54%	2,47%	2,58%	3,15%	3,10%
All students with disabilities	**6,1%**	**5,9%**	**6,5%**	**6,8%**	**6,6%**

Findings:

Overall, students with disabilities represent a slightly higher share of students in higher forms than in lower forms. This is the case in particular for students with hearing and visual impairments. On the other hand, there is a decline in the share of students with intellectual disability in form 5 as compared to other forms. This suggests that students with intellectual disabilities who reached form 1 of secondary education may not be completing secondary school at the same rate as other students. In addition, further computations show that the total share of students with disabilities among secondary students was 6.1 percent in 2013, compared to 6.4 percent in 2014, suggesting that access to education for children with disabilities is improving.

The schooling profiles for secondary education in Lesotho were computed for all children and children with a disability. The graph shows proxy survival rates to successive grades in secondary education for children with and without a disability.

FIGURE 11.5 Survival Rate in Secondary Education in Lesotho



Findings:

Children with a disability have similar proxy survival rates to forms 1, 2 and 3 as children without a disability but higher proxy survival rates to forms 4 and 5. It appears that, once they are in secondary education, children with disabilities in Lesotho fare comparatively better than their non-disabled peers, which reiterates (in a different form) results found in the analysis above. Such a result – better retention of children with disabilities once they have accessed a specific school – is not surprising and has been noted in a number of other countries. These children have overcome significant barriers to attend school and thus may be more motivated and capable, and have more family support.

SECTION 3

Supply-Side Issues – Learning Environment and Quality

This section will help to understand and analyze the multiple supply-side barriers that hamper access of children with disabilities to a quality education. These relate to early learning programs; access to and within schools; and the teaching and learning environment, including learning materials, the adaptability of the curriculum at all levels of the education system, specialist support, and the capacity and practices of teachers. Systematic analysis of these elements, in collaboration with DPOs, including children with disabilities, will help complement the diagnosis of the situation of children with disabilities with regard to education, thus feeding into future policy discussions on supply-side measures needed to better support disability-inclusive education systems.

In this section, there will often be a discrepancy between what data would ideally be collected and what data is actually available in countries. Discussions with the government, NGOs and other partners involved in inclusive education for children with disabilities, as well as DPOs, will help shed light on what will almost always be, without their insights, but a partial picture. Given the tendency for a lack of data, countries are encouraged to engage in additional/supplemental data collection to add more information and shed more light on the situation.

3.1 Disability-Inclusive Early Learning Programs

As discussed in Chapter 7 of the ESA Methodological Guidelines Volume 2, the early years offer a unique window of opportunity to foster a child's cognitive development, attitude and skills. High-quality preschool programs have been found to be among the most effective and cost-effective programs available in promoting children's readiness for primary school. In particular, preschool programs offer opportunities to identify children whose development is delayed and those who are at high risk for developmental delays (for example due to environmental factors). Access to early childhood education is of particular significance for children with disabilities, many of whom need additional support to compensate for the barriers they face as a consequence of their impairment. For this reason, it is essential for the ESA team to analyze the key elements of an early year education and care system.

3.1.1 EARLY DISABILITY ASSESSMENT

Early detection of developmental delays and health risks that can contribute to such delays, together with case management to ensure identified children receive the services they need,

is essential to ensure a good start in life for children. Responsibility for these interventions will usually lie outside the education ministry, highlighting the importance of close cross-departmental collaboration in the process of building disability-inclusive education environments. Interventions are most effective when families are closely involved in the process, enabling them to seek appropriate diagnostic and therapeutic services to support their child's wellbeing and development. Not only do parents have unique knowledge of their child, but their engagement will strengthen their understanding of how to optimize their child's learning potential. Table 11.10 provides a checklist of questions to assess whether the appropriate systems are in place.

TABLE 11.10 Indicative Guidelines to Assess Early Assessment Systems

Steps required to provide early assessment	Systems required to enable early assessment	Action to implement assessment	Potential information sources
Identification of need	Is there an early detection system after birth to identify developmental delays and prevent other potential health risks; for example, low birth weight, micronutrient deficiencies, and infectious disease?	• Has a system been identified for screening processes (is there a system in place to assess/screen children for disabilities)? • At what ages are these implemented? • Has training been provided to equip relevant staff in using screening tools? What percentage of relevant staff has been trained? Is a program of in-service training in place? • What is the number and percentage of children reached by screening programs? • What percentage of children in need (based on the results of the screenings) are referred to appropriate help? • Given the percentage of children screened, and the percentage of (screened) children identified as having needs that are referred to appropriate help, what is the estimated proportion of children in need in the total population that are actually referred?	• Discussions with government officials, DPOs, NGOs and other partners across relevant sectors, including community health workers. • Official documents. • Records of training programs. • Administrative records of relevant structures providing screening programs, including ministries, NGOs and other relevant partners. • Disability surveys or other relevant surveys (check if any information on support received by children is available).
Ongoing tracking of children	Is there ongoing engagement with children, including case management, tracking and following systems as well as outreach services?	• What outreach services have been established? (e.g. home visiting, parental support groups) • What number and percentage of children is reached by these visits? • What percentage of children reached is identified as requiring ongoing services? • Of these, what percentage receives help and how often?	• Discussions with government officials, disability associations, NGOs and other partners. • Official documents. • Administrative records of relevant structures providing outreach services, including ministries, NGOs and other relevant partners. • Disability surveys or other relevant surveys (check if any information on support received by children is available). • Local population registers and birth registers. • Records of health interventions up to 5-6 years to track development. • Preschool enrollment data.

Sources of assessment and support	Who provides early childhood assessment and support?	• Among children receiving support, what are the sources of support? (e.g. private charitable trusts and private/government hospitals, private registered schools, NGOs, community-based rehabilitation programs) • Is it possible to estimate the percentage of children needing support that get help from these sources?	• Records of different partners providing assessment and support. • Relevant surveys.
Trained service providers	Is training for service providers (e.g. education, care, health) available and of sufficient quality?	• What training is provided to equip service providers with skills in working in inclusive environments? (e.g. are there Bachelor of Education courses with modules on disability-inclusive education?) • Which professionals have access to training?	• Curriculum materials of different courses. • Data on numbers of professionals trained.
Involvement of families	Are early interventions, support and referrals family based?	• Are early assessment and case management systems designed to actively engage parents as partners? • Are parents provided with training and advice to support their children? • If feasible: what percentage of parents is aware of the services available for their children? Of those, what percentage of children benefits from those services?	• Discussions with DPOs, parents and children with disabilities, government officials, NGOs and other partners. • Disability surveys and other relevant surveys.

3.1.2 EARLY CHILDHOOD/PRESCHOOL PROGRAMS AND FACILITATORS

Inclusion in educational programs needs to begin from the early years, typically 3 to 4 years. Investment in preschool disability-inclusive education can serve to identify and address developmental delays experienced by some children, and facilitate an easier transition into primary school, as well as help to overcome, early on in the education system, prejudices and fears often associated with inclusion of children with disabilities. Additional analysis is needed to identify the extent to which those programs are inclusive of children with disabilities. This analysis of the early childhood development sub-sector is a similar process to that undertaken for later phases of the education system (primary and secondary) and will also need to look at factors such as accessibility of facilities, availability of equipment or aids/devices, and training of teachers.[34] Note however that (as discussed in Section 2.2) it is often more difficult to gather information on preschool programs than on programs for later years, given the larger number of nongovernmental providers and the generally weaker administrative data systems, among other factors.

3.2 Physical Access to and within Schools

Adequate education supply for all children with disabilities involves a series of measures including removing the barriers associated with getting to and from school; entering the school grounds and accessing school buildings; participating and mobility in the classroom; accessing clean water, sanitation and hygiene facilities; playing, recreation and sports; and evacuation in the case of an emergency.

3.2.1. ACCESS TO SCHOOLS

Enabling all children with disabilities to get to school requires that the barriers within the community are identified, in particular those relating to transport and mobility. For girls especially, the issue of safety and security in transportation is a key factor in access to school. Information in this regard may be obtained using school accessibility information from administrative data systems, learning assessment surveys, or relevant household surveys. Most of the analyses relevant to this chapter of the country ESA will have been already been undertaken for Chapter 2 of the country ESA (as per the guidance in Chapter 2 of the ESA Methodological Guidelines Volume 1[35]). This section seeks to see how these prior analyses can be used to shed light on specific accessibility challenges facing children with disabilities. Where information is available only at municipal level, as is sometimes the case, a country may also decide to carry out an in-depth analysis at that level.

Data on total numbers of children with different types of disabilities (collected as per the guidance in Section 1.3) and data on distance from children's dwellings to school (assuming distances to school for children with disabilities is similar to that for children without disabilities) may be used to get a better understanding on the share of children with mobility difficulties experiencing physical barriers impeding access to school. In addition, a more qualitative analysis may be undertaken to understand the nature of the obstacles: for example, distance of the school or of the child's dwelling from a road, but also condition of the path to school (e.g. muddy or flooded in the rainy season), rugged/mountainous terrain, lack of traffic lights (in urban areas), uneven road and pavement surfaces, inaccessible buses (where buses exist) and security issues.

Municipality-level data may include more detailed information on, for example, uneven roads or pavements, lack of traffic lights, and localized natural conditions such as floods. However, this information generally remains at the municipal level in which case it cannot be used for a national-level analysis.

3.2.2 MOBILITY WITHIN SCHOOLS

Schools should be equipped with physically accessible features in order for children with disabilities to have access to classrooms and all other facilities, including sanitary facilities, laboratories, libraries, and external, recreational and sports settings. This should also include signage and navigation aids for students with cognitive or sensory disabilities. Early planning to ensure that all new construction is made accessible is crucial, given that the cost of retrofitting buildings or classrooms to be accessible is considerably more costly. The World Bank has produced useful guidance on measures for local and national planners and key stakeholders to reduce costs in initiatives to guarantee accessibility (World Bank, 2007; Steinfeld, 2005).

Universal design, a set of principles that can be applied in the construction or refurbishment of buildings, may be used as a guide for improving school accessibility as well as analyzing the current situation in schools (Steinfeld and Maisel, 2012). The concept of universal design has evolved to recognize the diversity of functional ability across the entire population (i.e. not only those with disabilities) and encourages architects and other designers to create buildings, spaces (e.g. playgrounds in the context of schools) and products (e.g. furniture, computer programs, school curricula) that can be used by persons with a wide range of abilities and different body sizes (UNICEF, 2014a).

In 2012, the Centre for Inclusive Design and Environmental Access[36] developed the following eight goals of universal design specifically for learning environments – these can also be applied when analyzing the extent to which a country's schools are inclusive:

- *Goal 1: Body Fit* – accommodating a wide range of body sizes and abilities
- *Goal 2: Comfort* – keeping demands within desirable limits of body function
- *Goal 3: Awareness* – ensuring that critical information is easily perceived using different senses
- *Goal 4: Understanding* – making methods of operation and use intuitive, clear and unambiguous
- *Goal 5: Wellness* – contributing to health promotion, avoidance of disease and prevention of injury
- *Goal 6: Social Integration* – treating all groups with dignity and respect
- *Goal 7: Personalization* – incorporating opportunities for choice and the expression of individual preferences
- *Goal 8: Cultural Appropriateness* – respecting and reinforcing cultural values, and the social and environmental context of any design project

A first step in the analysis of the level of mobility within a country's schools is to determine whether there is a "standard" design or norm for school construction, and to examine its robustness and application. Box 11.9 provides a suggested checklist to support the analysis of the latter.

BOX 11.9 Suggested Checklist of Considerations to Assess Mobility in Country Design Norms/Standards for School Construction

1. Check the standard/norm against indicators such as the following
 - Width of doors within school to accommodate a standard wheelchair
 - Ramps provided to enable wheelchair access built at International Standard Organization (ISO) gradien
 - Wheelchair-accessible and separate toilets and washing areas
 - Adequate lighting, natural or powered, to support low vision students
 - Sound proofing, noise levels, quiet spaces to support students with low hearing or attention deficit disorder
2. Is this standard expected to be applicable to all schools or only some schools (e.g. public, community, private, religious)?
3. Where applicable, is this standard generally respected? Is there any data/information to back this up?
4. For how long has this standard been in place?
5. If standards have evolved, what number of schools were designed when the newer standard was in place compared with the older standard?
6. Is there a program to rehabilitate/retrofit older schools? What does the rehabilitation/retrofitting entail? How many schools have been rehabilitated/retrofitted in the past years?
7. In light of the above, how many schools in the country are expected to have different types of disability-friendly features?

Source: Authors

The information above focuses on what schools are expected to have, given the country's norms and standards. However, reality may differ from official norms, from the construction stage and/or due to a lack of maintenance. It is therefore important to cross-check any information obtained from norms and standards with other sources that show what is happening on the ground. Information may be available on school infrastructures from the school EMIS, specific studies (for example on mobility/access), or other data sources (e.g. learning assessment surveys). Sometimes the information will focus only on the existence of a certain infrastructure (e.g. toilets) irrespective of their functioning. For example, a country may have invested in building accessible toilet facilities, but these may not be functioning. During the analyses, the ESA teams may choose to invest in a small investigation to spot check what is on paper and what is functioning at the school level. Box 11.10 offers a checklist of questions to support analysis of the extent to which a country's schools are accessible, using the available data.

BOX 11.10 Questions to Answer when Analyzing Data on Disability-Inclusive School Infrastructures (Mobility)

1. What percentage of schools have toilet facilities (latrines, flush toilets, etc.)?
2. How many toilet compartments are there on average per child? Separate girl toilets? Boy toilets? Separate teacher toilets? What percentage are functional (if known)? What proportion of toilets have water or washing facilities? Is there access to water pumps and taps?
3. What is the student-to-classroom ratio?
4. What proportion of classrooms are accessible (e.g. physically accessible to children who are wheelchair users, adequate lighting for children who are partially sighted, flexibly organized to accommodate children with hearing impairments)? What proportion of schools have accessible classrooms?
5. What proportion of schools have evacuation plans? How many of these consider the issue of students with disabilities?

Source: Authors

3.3 Teaching and Learning

Disability-inclusive teaching involves an approach that starts from the perspective that all children can learn and that the responsibility of the school is to explore ways of adapting the learning environment flexibly to include and support all children. Rather than the problem of learning being located within the child, disability-inclusive education adopts a child-centered pedagogy which acknowledges that all girls and boys have unique needs that can be accommodated through a continuum of teaching approaches. Not all children with disabilities, or even children with the same disabilities, share the same learning needs and therefore it is not possible to identify special teaching strategies that differ significantly from general teaching strategies. The concept of children or their needs being 'special' is also problematic. It can lead to lower expectations, to a belief that discrete or different skills are needed that are outside the competence of most teachers, and further that it is not the responsibility of teachers in the general education system to teach children with disabilities. It also overlooks the fact that not all children with disabilities require extensive adaptions or have different learning needs. A large proportion of children with disabilities can be included in regular classrooms with minimum adaptations. With appropriate teacher training, knowledge and resource support, all children, including children with intellectual disabilities can be supported in classrooms.

An example of a questionnaire about attitudes towards disability-inclusive for teachers or other relevant parties is provided in Annex 11.8, which was designed as part of applying these methodological guidelines in Ghana.

It is important to keep in mind that disability-inclusive education is a dynamic process. It is not possible to provide a blueprint with a set of fixed skills and knowledge for all situations. Rather, teachers need to be supported and equipped to understand their school and classroom settings in order to render them accessible and meaningful for all students.

This section will analyze several successive issues relevant to disability-inclusive teaching and learning, namely materials to facilitate learning, such as aids and adaptations; curricula; supportive services to children with disabilities; and teachers' training.

3.3.1 AIDS AND ADAPTATIONS

Some children with disabilities require access to aids, assisted technologies and adaptations to enable them to learn effectively. These include, for example, large print texts, Braille textbooks and other reading materials, and recognition of and support for sign language. Increasingly, digital technologies and communication aids are opening up new opportunities for enhancing accessibility.

Desks, seating, and classroom design need to reflect the needs of different learners, including collaborative and group working. Adaptations to classroom organization, including working in pairs, peer tutoring, seating close to the teacher and the creation of a structured and predictable environment can also be introduced to render classroom environments more accessible to children with communication or behavioral challenges. Children themselves can be involved in creating accessible design in order to lend their expertise on the obstacles they face, and also to help others appreciate a new perspective. DPOs are also an invaluable source of expertise.

Table 11.11 offers some important questions to address, as feasible and given available data sources, when analyzing the data on the provision of appropriate materials, equipment and adaptations for children with disabilities in inclusive schools.

TABLE 11.11 Assessing the Provision of Aids and Adaptations to Support Teaching

Types of provision		Outreach	Sources of supply	Financing
Materials / equipment (aids)	Braille books Large print books Assistive devices for gripping Digital devices such as talking calculators or spell checkers, portable word processers Picture cards Tape recorders Computers, adaptive hardware and keyboards	Number of each type of material or equipment Percentage of schools with materials, equipment or adaptations (Estimated) percentage of students with disability for whom they are available	Percentage provided by government Percentage provided by NGOs/INGOs/ community-based rehabilitation programs Percentage provided by religious bodies	Is a dedicated budget available to fund aids and adaptations? Is budget informed by data analysis of number of children with different functional needs? Are production and distribution systems in place to deliver aids and adaptations?
Adaptations	Seating Desk heights Lighting Handrails Ramps			

Source: Authors

The data source most likely to contain relevant information for this part of the analysis is administrative data systems/EMIS. If data is available, it may give an idea of: (i) the percentage of schools having different types of materials; (ii) the total number of some types of materials or equipment; and (iii) the percentage, among children identified as having a certain type of disability in the education system, that study in a school with the appropriate type of material given their needs. This last indicator does not reflect the number of children with disabilities that do not attend school because of a lack of appropriate materials in school, but only the share of children with disabilities in school having appropriate adaptation. The share of schools not having any material may, however, give a broad idea of unmet needs for materials/equipment and adaptations.

The data above focuses primarily on materials, equipment and adaptations that would be provided by bodies outside the school, be it the government, NGOs, religious bodies, etc. In many countries, few "complex" adaptations (e.g. Braille) may be available, but individual schools may be using low-cost/makeshift adaptations such as: copying pages of textbooks and learning material in larger prints, seating children with visual/hearing impairments close to the teacher, handmade adaptations to help children that have difficulties holding a pencil (e.g. rubber or foam tubing around pencils), etc. These can be difficult to measure as there is no systematic data collection on them, but they remain, in many countries, important elements of an inclusive learning environment.

3.3.2 CURRICULA

A disability-inclusive curriculum should provide all girls and boys, including those with disabilities, with the opportunity to acquire the core academic curriculum and basic cognitive skills, together with essential life skills which equip them to face future challenges, make well-balanced decisions, and develop a healthy lifestyle, good social relationships, critical thinking and the capacity for non-violent conflict resolution. The curriculum must develop respect for human rights and fundamental freedoms, and promote gender equality as well as respect for different cultures and values, and for the natural environment. Textbooks should also incorporate positive images of adults and children with disabilities and be offered in various formats appropriate to different learning needs. Preschool is a good entry point for developing a disability-inclusive curriculum as it offers an opportunity to develop the curriculum inclusively from the start of a child's education (UNCRPD, 2016; CRPD, 2006).

Box 11.11 provides a suggested checklist of questions to support the analysis of the level of inclusiveness of existing curricula.

3.3.3 INTEGRATED SERVICES FOR CHILDREN WITH DISABILITIES

Beyond materials/equipment/adaptations and appropriate curricula, additional support to disability-inclusive education may be provided through an inter-disciplinary program of services designed to meet the different needs of children with specific disabilities. In addition

BOX 11.11 Suggested Checklist of Considerations for Analysis of Inclusive Curricula

- Are principles of non-discrimination, diversity and tolerance in the curriculum?
- Are human rights, gender rights and children's rights part of the curriculum?
- Is the curriculum inclusive of all children and across all ages/by age group?
- Is the content of the curriculum relevant to the needs and future of children and youth?
- Does the curriculum (and learning achievement assessments) allow for variation in working methods (to guarantee appropriate flexibility)?
- Does the curriculum promote education on health and nutrition, along with HIV/AIDS prevention?
- Is the curriculum sensitive to gender, disability, cultural identity and language background?
- Does the curriculum discuss education for sustainable development (along with climate change and disaster risk reduction elements)?
- Does the curriculum reflect visions and goals of wider development (and equity) in the country?
- Is feedback (from all stakeholders) gathered and integrated for regular revision of the curriculum to take new visions and circumstances into consideration?

Source: Adapted from UNESCO Policy Guidelines on Inclusion in Education, 2009a

to the formal school curriculum, children with disabilities may need help with learning sign language, Braille instruction, speech therapy, physiotherapy, orientation, or supports in the form of hearing aids, glasses, wheelchairs, walkers, etc.

Analysis of the current provision and level of adequacy can be undertaken as follows:

1. *What is the current regulatory framework for provision of additional services to support health and learning in school?*
2. *What range of services is currently available?*
3. *What percentage of schools are provided what type of service?*
4. *What number/percentage of children is receiving support services? How does this compare to the number of children with a disability?*

The different categories of services can be disaggregated as such: (i) special tutoring or assistance by aide or other teacher in the classroom; (ii) special tutoring or assistance by aide or other teacher outside of the classroom; (iii) physical therapy; (iv) speech therapy; (v) occupational therapy; (vi) counseling; (vii) Braille instruction; (viii) orientation instruction; (ix) sign language instruction; (x) glasses; (xi) hearing aids; (xii) wheelchairs or tricycles; (xiii) canes, walkers or similar devices; (xiv) prosthetics; and (xv) electronic or audio support.

Information on these services will sometimes be available in administrative data. Other potential sources of information include: qualitative feedback from different stakeholders, including ministry officials and central/decentralized levels; DPOs; and other development partners, including NGOs involved in the provision of support to children with disabilities; as well as field visits to a small sample of schools, if planned.

3.3.4 TEACHER TRAINING

Quality disability-inclusive education requires sufficient numbers of teachers that are both capable and committed. Teacher training is one of the critical elements driving teachers' ability to provide disability-inclusive education. Traditionally, teacher training to provide education for children with disabilities involves optional separate training, modules or units on "special education". This approach provides some teachers with additional skills but means that not all teachers are provided with training on inclusive settings. It also reinforces the belief that disability-inclusive education is different from mainstream education and requires special expertise, and that it is not the responsibility of all teachers.

A more appropriate inclusive approach would rather ensure that disability-inclusive education is embedded and reinforced across the curriculum both in pre- and in-service training for all teachers, as all teachers need to acquire the competencies to work in inclusive environments. An inclusive teacher training curriculum may include, for example, identification of learning needs and a focus on modes of collaboration and whole school policies, as well as address learning needs, and strategies for dealing with behavioral issues. It may also provide training for teachers to be able to provide more "differentiated instruction", and provide opportunities for trainees to explore the use of a broad range of different resources for application in differentiated teaching (UNCRPD, 2016; CRPD, 2006).

In practice, there is a large array of situations: there may be some specialized teachers (either for inclusive/special education needs in general, or for specialized groups – such as a "teacher for the blind"), and/or some general teachers with special (optional) training (pre- or in-service) on disability-inclusive education. In addition, the teacher training curriculum may include different elements conducive to a more disability-inclusive education. In this case, there may have been a deliberate revision of pre- and in-service training curricula to embed disability-inclusive education principles within it, or the traditional teacher training curriculum may happen to include certain elements that promote a more inclusive learning environment; e.g. flexible teaching practices.

The analysis of pre- and in-service teacher training will be both quantitative and qualitative. It needs to take account of the existing models of provision in place – for example, whether inclusive schools already exist, the nature of special needs schools, or the availability of inclusion resource centers. Box 11.12 offers key questions that need to be considered for an analysis of teacher training in disability-inclusive education, from a quantitative perspective.

BOX 11.12 Suggested Checklist of Considerations for Analysis of Pre- and In-Service Teacher Training in Disability-Inclusive Education

- How many teachers/ECD facilitators identified as "specialist teachers" for children with disabilities are there in the country? Beyond teachers/facilitators, how many "specialized staff" (including psychologists, health workers, child protection workers and career advisors) are there in the country? This information will likely be found in different administrative data sources, specifically EMIS or human resource records which will identify them as, for example, "special education needs teachers" or "teachers for the blind" or any other specialized title. In some countries, the information might be with ministry of health. Several countries have therapists (physical/occupational) and speech-language therapists registered under the medical council or ministry of health as they are identified as doctors.
- How many "general" teachers/facilitators have received specialized pre-service training "specializations" relevant to children with disabilities? This information may be available in administrative records that keep track of teachers' various specializations (i.e. human resource records and some EMIS systems – though not all provide such details on teachers).
- How many teachers/facilitators have received specific in-service training on disability-inclusive education or other specific courses relevant to children with disabilities in the past year(s)? Who have been the providers of this training? This may be recorded in the EMIS system or may be estimated based on numbers from governmental and nongovernmental institutions that provide training to teachers.
- If general teacher training curricula have been revised to reflect disability-inclusive education principles (see below for a qualitative assessment), in all/some teacher training institutions, how many teachers have received pre-service training following the different curricula? For example, if curricula were revised in 2009 to make them more inclusive, how many teachers have been trained post-2009 vs. before that date? If, on the other hand, different teacher training institutions provide training of different quality, how many teachers are trained every year in each institution? What proportion of all newly trained teachers/ECD facilitators does this represent?
- In light of the above, what proportion of all teachers/facilitators is considered as adequately equipped to provide inclusive education for children with disabilities?
- Given the current and expected capacity of pre-service teacher training institutions and in-service providers (see Chapter 4, Section 3 of Volume 1 of the ESA Methodological Guidelines), what timeframe would be realistic to provide all teachers and ECD facilitators with training (either pre- or in-service) in disability-inclusive education? This needs to consider both the need to train existing teachers/facilitators and to cater to the training of newly appointed teachers.

Source: Authors

From a qualitative perspective, a number of elements need to be considered to assess how well existing training prepares teachers for disability-inclusive education. The degree of inclusiveness of teacher training curricula can be assessed by checking whether the training includes, in particular, the following (UNCRPD, 2016; CRPD, 2006):

- Children's rights
- Understanding and recognizing both direct and indirect discrimination
- How to work in inclusive environments with children with disabilities
- Positive strategies for promoting tolerance and tackling discriminatory behavior
- Use of individual educational plans to adapt and support children with specific educational needs
- Child-centered methodology
- Practical experiential learning

3.4 Partnering with Non-State Actors

Effective implementation of disability-inclusive education will involve many additional actors beyond the government itself. Different actors can provide significant added value to the development and delivery of disability-inclusive education. Services for children with disabilities are delivered by a range of government and nongovernmental institutions. Appropriate multi-sectoral coordination including the involvement of family members would help to avoid gaps in provision.

Analysis of the range of the partnerships in place and the role they play in supporting children with disabilities in accessing education can help identify how and where to strengthen the education system. Table 11.12 provides a checklist with which to analyze the existence and role of these partnerships.

TABLE 11.12 Suggested Checklist to Assess Existing Partnerships with Non-State Actors

Type of partnership	Contribution	Is a partnership in place? (Y/N)	Details
Civil society organizations	Can provide: • services • expertise • outreach		
Families	Can provide: • expertise on the needs of children and support required • support and partnership at the local and school level • engagement in advocacy for the rights of children with disabilities		
Organizations of people with disabilities (DPOs)	May have expertise and capacity in: • sharing and learning best practices • training and influencing the adaptation and adoption of the CRPD in diverse contexts • developing and disseminating messaging about local priorities and ideals • awareness-raising activities and campaigns to encourage governments to create legislations and policy changes • sports as a driver for positive role models and potential for changing attitudes		
Faith-based organizations	Can offer: • provision of services • support for families		
Private sector	May be involved in design, development and provision of, for example: • schools • aids and devices		
Community–based rehabilitation programs	Can provide: • community-based services • support with health, education and livelihoods *Of particular importance in rural and marginalized communities*		
Media	Can contribute towards playing a key role in: • awareness-raising • disseminating information • giving a voice to children with disabilities		
Children and young people with disabilities	Can provide a unique insight and perspective into, for example: • barriers faced • ideas for change • peer support • collaborative learning		

Source: Authors

SECTION 4

Demand-Side Issues

This section briefly examines demand-side issues, looking in particular at attitudes and beliefs towards children with disabilities – of parents of children with disabilities, as well as of teachers, administrators, community members, and other students in school – and how these affect educational access and opportunities for children with disabilities. The section also touches on financial challenges of families of children with disabilities, and how these affect parents' willingness and ability to send their children to school.

4.1 Attitudes and Beliefs around the Education of Children with Disabilities

Little will change in the lives of children with disabilities until attitudes of communities, professionals, media and governments begin to change. Ignorance about the nature and causes of impairments, invisibility of the children themselves, serious underestimation of their potential and capacities, and other impediments to equal opportunity and treatment constitute significant barriers all conspire to keep children with disabilities silenced, marginalized and excluded from education. Attitudes towards disability-inclusive education can be used to assess system capacity or demand-side issues.

Analyzing the nature of attitudes and prejudice towards people with disabilities is a critical first step in promoting awareness and challenging ignorance about the nature of disability, and with it, recognition of the right of children with disabilities to education and to benefit from it. It is also necessary to recognize intersectional discrimination, in which overlapping factors such as gender, disability and ethnicity can serve to compound and intensify experiences of exclusion and unequal treatment.

Different stakeholders may have different concerns and fears regarding providing access to education for children with disabilities. Some community members, for example, may think that children with disabilities do not need to be educated and therefore may influence opinions of families of children with disabilities or may be afraid of sending all children to the same school. These kinds of views and barriers can be identified and analyzed (according to what data is available in the country) using existing surveys or research (for example information provided by NGOs, DPOs or academic institutions), or collected through a new survey delivered to a small (non-representative) sample of individuals or focus groups.

Several examples of tools to collect information on attitudes to disability that have been used in different contexts are provided in Annexes 11.9-11.14,[37] while Annex 11.15 is an example of how questions on attitudes regarding people with disabilities could be added as a supplement to EMIS (an example from Serbia) with an objective to assess attitudes towards children with disabilities and their participation in education.

Example 11.5 below offers an overview of the results of the analysis of attitudes towards children with disabilities in Serbia.[38]

EXAMPLE 11.5 **(Appraising Attitudes towards Disability): Attitudes towards Children with Disabilities, Serbia**
Source: Adapted from Serbia MICS 2014 Household Survey

Serbia introduced inclusive education through the 2009 Law on the Foundations of the Education System that provides the legal framework and strategic orientation for inclusive education. With support from the UNICEF country office, an analysis of barriers to inclusive education for children with disabilities was undertaken.

Findings:
Analysis of the MICS 2014 household survey data revealed that attitudes towards children with disabilities and their participation in mainstream school settings are generally negative. Over 50 percent of people think that children with physical or sensory disabilities should not be in mainstream schools, and for those with intellectual disabilities, the percentage increases to 68 percent. In addition, 54 percent of children with intellectual disabilities and about 38 percent of children with physical or sensory disabilities experience negative attitudes in regular school settings that can affect their sense of self-worth and level of confidence. The analysis also revealed that 20 percent of schools report that at least half of their teaching staff have negative attitudes towards inclusive education.

Finally, the overall school environment is generally not perceived as safe, with 74 percent of parents overall that do not believe their children are fully safe in schools. Though lack of safety in school affects all children, those with disabilities tend to be particularly vulnerable.

4.2 Household Financial Barriers to the Education of Children with Disabilities

For many families, failure to send a child with disabilities to school may derive from economic as well as attitudinal or social factors. In many cases, the costs associated with caring for a child with a disability are significantly higher than those for non-disabled children. The families of children with disabilities are therefore disproportionately likely to experience economic hardship, making it more difficult for them to meet even the "normal" costs of education for their children, such as school fees, uniforms, education materials,

transportation costs or canteen/school lunches. In addition, costs to send the child to school may be increased if the child has specific needs associated, for example, with transportation or requires special equipment.

Analysis of the nature and scale of factors like these will assist in helping shape the policy priorities in promoting disability-inclusive education. Household surveys sometimes include information in this regard. If information on children with disabilities is available, it may be possible to compare the wealth quintile of families with and without children with disabilities. In addition, the survey may include questions on the reasons for not attending school, for which answers can be compared for children with and without disability. Note that, if "disability" is listed as a possible reason for not attending school, the information the survey can provide on family financial barriers will be greatly reduced (as the answer "disability" will include many factors including those related to access to school or attitudes). Indeed, the fact that a survey includes "disability" as a possible reason for not attending school may show a prevailing attitude that disability in itself can be a sufficient justification to be excluded from school. Discussion with associations and parents of children with disabilities can contribute to better understanding the picture, particularly with regard to the additional costs of sending a child to school and purchasing any necessary special equipment.

The analysis can be complemented by reviewing existing systems to address financial barriers for children with disabilities, including the waiving of school fees, bursaries, conditional cash transfer, and other policies and provisions (the latter may include, for example, the provision of extra funding to schools for each child with disability enrolled in the school). Alternatively, additional available sources of information (gathered, for example, by NGOs, development partners, universities) can be used or collected.

Applying a disability-inclusive lens is a fairly new addition to the process of education sector analysis and education sector planning. Although not many countries have experience doing it yet, it is expected that more and more information on the "how to" as well as practical experiences and examples will become available as countries move towards creating and implementing disability-inclusive education systems.

1 See A/HRC/25/29 para 3 (available at: https://www.ohchr.org/EN/HRBodies/HRC/RegularSessions/Session25/Pages/ListReports.aspx).

2 See https://www.who.int/classifications/icf/en/

3 Note that these results are based on surveys undertaken to identify disability in the broader population and do not focus on children. With the new UNICEF/WG Child Functioning Module (CFM), discussed further in Section 1.3.1, we expect to identify more children with disabilities – especially those with developmental disabilities. While this will increase the number of children with disabilities identified, it may also include children with difficulties that are not as associated with exclusion from school – although it is expected that those schools, if they are not disability-inclusive, will not be meeting their learning needs, which could lead to worse educational outcomes.

4 Child-to-child is a methodology whereby older children or children who volunteer can support other children in a learning environment. Find more information at http://www.childtochild.org.uk.

5 Indeed, the Bond report argues that "value for money" is often interpreted inadequately: "All too often, VfM [value for money] and inclusion are perceived to be in conflict. This is because value for money is often interpreted or implemented in a narrow way, and incorrectly equates the best impact with the one that reaches the most people for the lowest cost. This negatively impacts on those who are most marginalised, including people with disabilities who may be harder and more expensive to reach. Those who have complex needs (such as deafblindness) or experience multiple intersecting inequalities (for example women with disabilities) are particularly likely to be excluded. If we begin from the starting point of reducing poverty for *everyone* and leaving no one behind, then development interventions cannot be considered effective, or good VfM, if they exclude certain parts of the population" (Bond, 2016).

6 For additional information on each block in the Framework for Disability-Inclusive Education, see also the full-length booklets and webinars developed by UNICEF (UNICEF, 2012) available at: https://www.ded4inclusion.com/ie-resources-free/unicef-inclusive-education-booklets-and-webinars-english-version#.

7 See http://saber.worldbank.org/index.cfm?indx=8&pd=14&sub=0.

8 Refer to Box 11.1 for an elaboration of these key agreements/documents.

9 At the time of writing, the full report is pending publication.

10 Chapter 13 "Functioning and Effectiveness of the Educational Administration" examines the individual, organizational and institutional capacities needed for educational administrations to design and implement policies that improve equal access to and learning in education generally.

11 See in particular the discussion on key differences in approach between the medical and social/human rights models of disability.

12 Note that the EMIS is not the sole (or a sufficient) source of data on children with disabilities: surveys and censuses provide complementary information, some of which (such as enrollment rates) cannot be obtained from the EMIS alone.

13 Merely adding questions in data systems is not enough – sometimes most questions are left blank.

14 A good knowledge of disabilities can also help the education system monitor patterns that may indicate local causes of disability (e.g. dirty bathing water).

15 OpenEMIS is an open-source software system developed by UNESCO that is available royalty-free to UNESCO member states.

16 See http://www.washingtongroup-disability.com/washington-group-question-sets/short-set-of-disability-questions/.

17 UNICEF's Guide for Including Disability in Education Management Information Systems (2016) can provide support to countries intending to improve the quality of data regarding inclusive education for children with disabilities in their EMIS systems. Note that if/when new EMIS forms are introduced, appropriate training and clear instructions on the use of the new forms should be provided.

18 See http://aserpakistan.org/tools

19 See https://www.unicef.org/wash/schools/files/wash_in_schools_monitoringpackage_.pdf

20 See http://www.washingtongroup-disability.com.

21 At the time of writing, the module has undergone several rounds of testing and is in the process of being finalized and approved.

22 Beyond the cost of disability-inclusive education, knowing the cost of exclusion as well will be useful for advocacy.

23 The World Bank's Global Financial Development Report 2015-2016 (World Bank, 2016) found in 2016 that more than half of low- and middle-income countries (45 out of 76) did not have specific budget allocation for children with disabilities or for special education.

24 *#CostingEquity: The Case For Disability-Responsive Education Financing* (IDDC, 2016) provides an overview of financing issues with regard to disability-inclusive education.

25 This was created during the testing of the chapter in Ghana in 2017 by the costing and financing team with an objective to begin the process of calculating how much it would cost to implement disability-inclusive education in Ghana.

26 "School aged" as defined by the country (the age range when children are officially expected to be enrolled in school).

27 General observation during the review process for this chapter suggests that education budget lines tend not to be structured with an inclusive lens in the developing world. At best, only budget lines for institutions in charge of special schools are made available, suggesting a context of segregated rather than inclusive budgeting.

28 Annex 14.2 in Chapter 14 of these ESA Methodological Guidelines offer some general guidelines on conducting semi-structured interviews and focus group discussions.

29 For information on the Global Out-of-School Children Initiative, see https://unesdoc.unesco.org/ark:/48223/pf0000247531.

30 Author discussions with Armenian Ministry of Education in 2019.

31 Visit https://humanity-inclusion.org.uk/en/disability-data-in-humanitarian-action for various toolkits on collecting data on disability in humanitarian settings; see also Altman, 2016.

32 See ESA Methodological Guidelines Volume 1, Chapter 2, Section 5.

33 Note that values for Palestine (West Bank & Gaza) are slightly different to those in Example 11.3 because of a very slightly different age range used.

34 General guidance on the mapping of early childhood development (ECD) programs can be found in the ESA Methodological Guidelines, Chapter 7, Volume 2.

35 See Section 3 in particular.

36 For details, see http://idea.ap.buffalo.edu/about/universal-design/.

37 Please note that the six questionnaires were designed by the Ghana ESA team to better understand the situation of children with disabilities and their experience in the education system as well as to assess potential bottlenecks in terms of negative attitudes and/or general perceptions about educating children with disabilities. These questionnaires are intended for (i) children with disabilities and their education experience (Annex 11.9); (ii) parents of children with (Annex 11.10) and without (Annex 11.11) disabilities in regular schools; parents of children with disabilities in special schools (Annex 11.12) and not in school (Annex 11.13) as well as a general questionnaire for parents of children with disabilities (Annex 11.14). All six questionnaires were administered in Ghana during the ESA-IE and the information collected from these questionnaires was used to inform policy makers about the barriers and bottlenecks in the system. These questionnaires can be adapted and used during the ESA-IE data collection process to supplement existing data.

38 See https://www.stat.gov.rs/media/3528/mics5_report_serbia.pdf (Final Report) and https://www.stat.gov.rs/media/3531/mics5_keyfindings_serbia.pdf (Key Findings).



CHAPTER 12

RISK ANALYSIS FOR RESILIENT EDUCATION SYSTEMS

Chapter objective

To analyze the impact of hazards and conflict on education; the potential for education to exacerbate conflict, or contribute to peacebuilding, social cohesion and disaster resilience; and the capacities of the education system to mitigate and manage risks.

SECTION 1. **OVERVIEW AND MAPPING OF RISKS**

ISSUE

Disasters resulting from natural or manmade hazards, and violent conflict at home or in neighboring countries are increasingly common and have a considerable detrimental impact on communities and institutions.

OBJECTIVES

- Define the country's global risk profile, and place it in international context
- Identify and quantify the main risks likely to affect education, and analyze differences in risk levels at the sub-national level
- Explain the likely root causes and contributing factors of risks, and highlight interrelations between them
- Describe the overall humanitarian impact of existing hazards and conflict based on exposure, vulnerability and capacities
- Determine the most severe risks to be addressed

METHODS

- Select and present a global risk index, explaining its components
- Synthesize key findings from available data and analysis to create a typology of potential and actual risks, including their frequency, characteristics, related shocks and stresses, and historical trends
- Elaborate a risk map, based on existing sub-national composite risk indexes
- Develop a sub-national composite risk index if none is available
- Apply the USAID Conflict Causal Analysis Framework or problem-tree approach to determine causes and interrelations, in participatory approach
- Determine the human and economic costs of risks, including lives lost, numbers affected, populations displaced, rights violated and material damage
- Elaborate a risk heat map, prioritizing risks by likelihood and impact

SOURCES

- INFORM, Fund for Peace FSI, Global Peace Index, OCHA's Global Focus Model
- ACLED, HNO reports, UN/OECD Risk and Vulnerability Diagnosis, Uppsala Conflict Data Program
- National contingency plans and humanitarian reports, strategic response plans, sitreps, CADRI reports, postconflict and postdisaster needs assessments
- Research, analysis and evaluation reports by UNICEF, UNHCR, IIEP-UNESCO, NGOs
- Participatory research, FGD, KII

SECTION 2. **THE EFFECTS OF RISKS ON EDUCATION**

ISSUE

Severe hazards and conflict place strains on access, weaken demand, undermine quality, contribute to inequity and erode learning achievements. Furthermore, schools are commonly subject to use as shelters or targets of attack.

OBJECTIVES

- Quantify and describe the extent to which risks impact education in general, and supply and demand in particular
- Synthesize this information at the sub-national level to easily characterize and rank education regions, provinces and districts
- Study the correlation between risk and education indicators for access, internal efficiency, quality inputs, learning outcomes and equity
- Determine the financial impact and cost to the sector of hazards and conflict

METHODS

- Synthesize key data and indicators from available secondary sources on school damage, closures **(including due to pandemics such as COVID-19)**, attacks, and pupils and teachers affected, as well as school feeding programs, temporary learning centers created, etc.
- Gather further data, including on perceptions, through a qualitative risk and vulnerability survey, or participatory research
- Create a synthetic education risk index, by assigning weights to different data harnessed or indicators created
- Compare the index created with key EMIS data, fully disaggregated
- Estimate direct, indirect and opportunity costs, based on the above, unit costs and historical trends

SOURCES

- Education contingency plans and humanitarian reports, strategic response plans, sitreps, education cluster needs assessments
- Research, analysis and evaluation reports by UNICEF, UNHCR, IIEP-UNESCO, NGOs
- Household, demographic, health, census survey data
- Results of dedicated qualitative/quantitative surveys
- EMIS, national exam data, learning assessment results
- Participatory research, FGD, KII

SECTION 3. **THE INFLUENCE OF EDUCATION ON CONFLICT AND HAZARDS**

ISSUE

Education can contribute to tensions and violent conflict by exacerbating existing inequities or becoming politicized. It can also be a pillar for the promotion of long-term peace, social cohesion and natural disaster mitigation and resilience.

OBJECTIVES

- Identify any aspects of education that may contribute to create or fuel conflict
- Determine if particular dimensions of the education system are sources of grievance, intentionally or unintentionally creating inequity
- Appraise education's contribution to peacebuilding, social cohesion and social justice
- Appraise education's contribution to natural disaster prevention and preparedness

METHODS

- Cross-check the root causes of conflict identified in Section 1 against common education-related conflict drivers for convergence
- Examine correlations found in Section 2 between risk and education indicators under the hypothesis the causality is inverted
- Review long time series of data and indicators disaggregated by area, gender or group to differentiate structural from circumstantial inequity
- Critically appraise key issues including decentralization; separate, segregated, private and faith-based schooling; curricula and language of instruction
- Study stakeholder perceptions of education, conflict and peace dynamics according to the Education Peacebuilding and Social Cohesion Framework
- Analyze education's contribution to sustainable peacebuilding through the 4Rs Framework: Redistribution, Recognition, Representation and Reconciliation

SOURCES

- Reports and data on conflict-peacebuilding-education, including UNICEF PBEA reports, FHI 360 Education Inequality and Conflict Dataset
- EMIS/exam data and indicators, in particular results of Section 2 analysis
- Education sector policies, curriculum frameworks, language policies, teaching and learning materials
- Afrobarometer, participatory research, FGD, KII

SECTION 4. **EDUCATION SYSTEM RISK MANAGEMENT, MITIGATION AND GOVERNANCE**

ISSUE

Education systems can put in place various strategies to mitigate the effects of hazards and violent conflict, ensuring education continuity and enabling students and institutions to achieve positive outcomes despite adversity.

OBJECTIVES

- Identify risk reduction enabling factors in the national policy and institutional context that are favorable to education sector resilience, **including during times when schools have to close**
- Appraise the strengths and weaknesses of education system-specific arrangements for preparedness and response
- Understand the extent to which EiE funding is adequate and sustainable

METHODS

- Assess the existence and effectiveness of, or constraints to, national risk management legislation, policies, sector and intersectoral plans and strategies, coordination mechanisms, and monitoring and evaluation frameworks
- Assess education sector policies regarding safe schools; **educational continuity during school closures**; access for crisis-affected groups and refugee response plans; non-formal education and pathways back into formal education; EiE and education cluster coordination arrangements; risk capacity-building approaches, for officials and teachers
- Review the effectiveness or appropriateness of contingency planning, resilient infrastructure norms, local disaster management plans and community involvement
- Based on financing and budget information gathered for Chapter 3, create specific risk financing indicators and perform a qualitative review

SOURCES

- Global conventions and agreements, safe schools declaration
- National policy, programs and strategies; institutional documents; national and local contingency plans; teacher training programs
- Education cluster plans, humanitarian/refugee response plans
- School infrastructure construction designs and guides, school map
- World Bank CPIA & SABER-ERA, Fund for Peace FSI
- Budget data and reports, OCHA FTS, country financial donor reports, ECW
- KII with ministry officials and education cluster members

Introduction

Crises and disasters have a powerfully destructive impact on systems and populations. States affected by conflict, epidemics, natural hazards, climate change and other natural and manmade disasters are the furthest away from achieving development goals. In particular, these phenomena have short- and medium-term consequences on the school community (school-aged population, their parents, education personnel, etc.) as well as the availability and the quality of education services.

A hazard and conflict analysis of the education system enables the identification of the risks that are prevalent in a given national context (Section 1), the constraints they pose on the ongoing delivery and development of education (Section 2), as well as an understanding of the bi-directional relationship between risks and education (Section 3), and the political, institutional and governance mechanisms available to contribute to the education system's resilience (Section 4). Overall, it enables the assessment of the vulnerability or the resilience of the education system.

The results of this analysis will help policymakers answer a number of questions, such as: What are the main risks the country faces? How significant are these, and where are they located? Which of them have impacted or might impact the education system? How do they affect education supply, demand, access, equity, quality and sector financing? What are the horizontal (among groups) and vertical (between groups and government institutions) relationship dynamics? What is the influence of the education system on the various crises that the country is facing? Do schools protect students and teachers from the effects of hazards or conflict? Do educational content and processes contribute to build disaster prevention and social cohesion? What policies, systems and practices are in place to strengthen the resilience of the education system to crises? Are financial arrangements to fund education in emergencies adequate?

Box 12.1 provides a glossary of definitions of key terms throughout this chapter, to clarify their meanings, as well as to offer guidance.

Traditionally, hazards have been classified into two categories: natural and manmade. However, the line between the two is becoming increasingly blurred as many hazards of natural origin are compounded by the failure of human systems. For example, global warming, a slow onset hazard, is believed to be caused mainly by human interference with nature. Conflict is increasingly related to hazards as populations compete for relatively scarcer resources, and trends demonstrate increasing resort to violence. The potential impact of education on conflict, whether negative or positive, is often overlooked by planners, but is increasingly deemed to be crucial.

BOX 12.1 Key Concepts for Hazard and Conflict Analysis

Hazards, shocks and stresses	A *hazard* is a natural or biological process or phenomenon, substance, human activity or condition that may cause loss of life or injury, contagious or non-communicable diseases, hunger and malnutrition, other health impacts, property damage, loss of livelihoods and services, social and economic disruption, political or institutional dysfunction, or environmental damage. *Hazards* include events that are: • Sudden and localized, such as earthquakes, floods, fire, drought, landslides; or disruptions to terms of trade, global financial crises, food and oil price volatility, financial institution failure, etc. Such hazards are often referred to as *shocks*. • Longer-lasting and widespread, due to multi-level causes such as economic depression, under- and unemployment or climate change. Such hazards, constituting long-term and systemic trends, are often called *stresses*.
Violent conflict	A clash or struggle between two or more parties who perceive that their needs, goals or strategies are incompatible or mutually exclusive and take violent action that damages other parties' ability to pursue their interests. Examples of *violent conflict* include or can entail terrorist attacks, violent civil demonstration, armed conflict between state and/or non-state actors, inter-community violence, extra-judicial killings, the use of rape and sexual violence as weapons of war, attacks against schools and education personnel, abductions, recruitment into the armed forces, etc.
Vulnerability vs. capacity	*Vulnerability* refers to the characteristics and circumstances of a community, society, system or asset that make it susceptible to the damaging effects of a hazard or conflict. Vulnerability may derive from various physical, social, economic or environmental factors. Conversely, *capacity* refers to the combination of all the strengths, attributes, resources, mechanisms or strategies available to a community, society or organization that can be used to achieve agreed goals, cope with hazards and conflict, and prepare for, mitigate and respond to risks and disasters.
Risk and exposure	A *risk* occurs where a population group is *exposed* to a particular hazard or conflict, therefore indicating some likelihood of the group suffering adverse effects, and is proportional to the exposed population's vulnerability, and inversely proportional to their capacities to cope and respond. On this basis, the relationship between these different concepts can be modeled as: $$Risk = \frac{Hazard, shock, stress\ or\ conflict \times Exposure \times Vulnerability}{Capacity}$$

Disaster, crisis, emergency	A serious disruption of the functioning of a community or society exposed to a hazard or violent conflict, as it interacts with conditions of vulnerability and capacity. In other words, a disaster occurs where *risk*, as per the above equation, is high. In the technical sense used in this chapter, *disaster*, *crisis* and *emergency* are used interchangeably, and the emphasis is generally placed on the negative consequences in terms of potential loss. A disaster may test or exceed the capacity of a community or society to cope with its own resources, and require assistance from external sources, which could include neighboring jurisdictions, or those at the national or international levels.
Fragile contexts vs. resilience	Where high vulnerability is combined with low capacity, one refers to a *fragile context*. Conversely, *resilience* denotes the ability of children, communities and systems to anticipate, prevent, withstand, adapt to and recover from hazards and conflict, reflecting low vulnerability and/or high capacity.
Mitigation, preparedness, response and recovery	Mitigation, preparedness, response and recovery are the four successive and complementary phases of emergency management: • *Mitigation*, also known as *prevention*, is about taking organized action to reduce the likelihood of a hazard or conflict occurring; • *Preparedness* involves developing emergency management tools and institutions, so that response can be swift and effective, limiting the impact of a hazard; • *Response* is the action taken when a disaster materializes, to save and protect lives and property, and restore essential public services; • *Recovery* is the longer-term process of rebuilding communities and livelihoods after a hazard or conflict has passed, to achieve renewed sustainability.
Social cohesion and peacebuilding	*Social cohesion* refers to the quality of bonds and dynamics that exist between groups within a society. Groups can be defined in terms of ethnic and socio-cultural origin, religious and political beliefs, social class or economic sector, or characteristics such as gender and age. High levels of social cohesion reduce vulnerability and improve resilience. Effective *peacebuilding* interventions contribute to the strengthening of social cohesion at the vertical (state relations with its citizens and groups) and horizontal (intra and intercommunity relations) levels.

There are tensions created by bringing together natural and human-made disasters and violent conflict together under the term 'risk analysis'. Indeed, each type of risk poses distinctive challenges. For instance, the emphasis following a natural disaster might be on mobilizing community responses; during an epidemic the emphasis may be on increasing health sensitization activities; whereas in the midst of conflict the highly politicized context has significant and different implications, and greater focus may be placed on peacebuilding and social cohesion programs.

On the other hand, it is important to recognize common impacts, such as destruction of infrastructure and human resources, movement and displacement of people, and the particular need for protection of children and vulnerable groups. Hazards and conflict also raise common challenges, such as maintaining continuity in the provision of education. Both hazards and conflicts are also sensitive to the role of education to gradually improve knowledge about risks, develop prevention attitudes and encourage favorable practices. This chapter aims to address both the specificities and relations between hazards and conflicts that ESA teams will need to keep in mind.

Risk and Conflict Analysis: A Highly Contextual Exercise

This methodological chapter is not and cannot be a blueprint, as risk and conflict analysis is highly context dependent and each country will decide how to best address it based on a number of considerations. Three dimensions are particularly determinant:

- *The actual risk and conflict context of the country.* Every country has a different risk profile. While some risks may have a national scope, others may be confined to specific regions. Some countries may face only one major risk, while others face complex emergencies.

- *The time frame, based on past occurrence and future probability.* Time-wise, risks may be unique (e.g. the 2004 Indian Ocean tsunami, or the swine flu outbreak of 2009-10), seasonal (e.g. flooding or drought), or build up over time (e.g. civil unrest, refugee crises). In addition to those risks that materialized during the period preceding the analysis, the ESA should consider any foreseeable risks for the future period. In particular where an ESA is the diagnosis tool used to determine an education sector plan, covering future risk probabilities will be key to effective risk-informed programming. In the case of protracted crises (e.g. political and social conflict over a 10-year period; food insecurity over a 10-year period), it may be difficult to decipher the difference between structural challenges and the impact of a contemporary risk.

- *The availability of data related to risk and conflict.* How to assess and address this particular aspect is dealt with in detail at the end of this introduction.

Incorporating Risk Analysis into the Larger Education Sector Analysis

The decision regarding how to best capture the country-specific impact of risks on the education system requires a solid understanding of the context and cannot consist in a standard approach. In fact, it is critical to ensure that the ESA Chapter 1 (on the "Global development context of the education sector," as per the ESA Guidelines Volume 1) provides a clear and comprehensive overview of the humanitarian context and risks at hand in the

country, whatever the scope and approach of the conflict and risk analysis for the education system.

Based on the experience of conducting ESAs in the Central African Republic (CAR), Chad, Côte d'Ivoire, the Democratic Republic of Congo (DRC), Guinea-Bissau, Mali and South Sudan between 2014 and 2017, the following recommendations can be made:

- *If a country is experiencing a particular risk or several long-term nationwide risks with structural effects on the education system* – the risk and conflict dimension might best be reflected in all ESA chapters. For examples see South Sudan ESA (2016) and CAR ESA (2017). In this case, the ESA would ideally take a transversal view of risk and its interactions with all aspects of the education system, across chapters. In other words, it should be systematically applied as a lens to the findings in terms of enrollment, internal efficiency, out-of-school children, cost and financing, quality, system capacity and management, external efficiency and equity, as well as for specific relevant subsectors. When this is not possible due to a lack of data, then the priority should be given to the analysis of institutional arrangements, schooling indicators (including equity), infrastructure, learning outcomes and funding arrangements.

- *If a country is experiencing a less pervasive risk situation* (one particular risk; risks in a specific geographical area; risks at specific times or periods) – the risk and conflict analysis might best be presented in a dedicated ESA chapter. For examples see DRC ESA (2014), Chad ESA (2014), Côte d'Ivoire ESA (2015), Guinea-Bissau ESA (2015) and Mali ESA (2017).

In both cases, it is important to bear in mind that the risk analysis will aim to establish correlations between hazard and conflict dynamics on the one hand, and the performance of the education system on the other. However, it will not aim to prove direct causality, given the variety of dynamics at play.

Specific Considerations for Countries Affected by Conflict

If a country has undergone a conflict or suffered from the spillover impacts of one in a neighboring country during the time period covered by the ESA, in addition to examining conflict as a risk (see above) whereby one analyzes the impact of violent conflict on the education system, a specific analysis should be undertaken to understand if and how the education system plays a role in perpetuating or mitigating conflict. Indeed, in a conflict-affected context, education can have two faces (Bush and Saltarelli, 2000): (i) a negative face, e.g. deepening societal injustice and inequality through uneven access, indoctrination, divisive rhetoric and promotion of intolerance, among others, and (ii) a positive face, through just and equal access, healthy and inclusive identity formation, and the promotion of social cohesion and reconciliation.[39]

Therefore, it may be important for this chapter of the ESA to also answer questions such as:

– *How does education contribute to and/or address conflict dynamics and factors in a given conflict context?*

– *What are the capacities for peace, at the formal or informal level, that are positioned and equipped to address conflict constructively and build peace?*

Important Considerations for Data Collection and Use

Major risks can impact the functioning of a country, including the collection and analysis of data. The lack of data on the impact of crises is often a major obstacle to analyzing the overall effects on the education system. This makes planning for crisis response and risk reduction quite challenging. One of the first tasks facing an ESA team is to conduct a review of what data are available in EMIS and other readily available secondary sources.

A Review of Available Data

The ESA team should be aware of several potential constraints to data availability, such as system design to incorporate data on risks, data systems running in parallel to EMIS, or selection bias within existing systems.

Where an EMIS is up and running, some ministries of education have included indicators on the effects of risks on the education system, though this is not widespread. In the Middle East, Jordan's OpenEMIS[40] and the Lebanon Compiler are online systems that include emergency education indicators with disaggregated data on refugees. Next door, the Syria Crisis Education Information Management Package is aligned with and complements national data systems, providing a broader selection of crisis-oriented indicators for access, quality and systems strengthening, that are updated annually.[41]

Education sector analysis in fragile contexts can face an exacerbated selection bias problem, as high-quality information is notoriously hard to obtain from hard-to-reach areas, which become ever more inaccessible in situations of hazard or conflict. The education situation could be overstated if the sampling for data collection fails to cover the most affected areas. Similarly, the impact of some education responses could be understated if interventions are unable to be delivered where they are most needed.

In addition, the absence of an effective education in emergencies (EiE) data system can hinder the development of quality interventions and potentially exacerbate inequalities by allowing interventions to focus on certain geographic areas and populations to the detriment of others. The global international aid agenda (reporting on SDG 4, results-based programming, value for money) places particular importance on good data and systems

to monitor interventions and outcomes, and to support the development and sustainable implementation of service quality standards.

Particular attention should be paid to population data in fragile contexts, that may be weak due to the time elapsed since the last survey, the ability of national statistical offices to conduct sound demographic projections, inaccessibility of some regions, or large-scale population movements.

Locating conflict-sensitive analyses may be particularly difficult, in part because they are often not shared with national governments for fear of undermining partnerships by being critical of education policies and practices, or due to funding dependencies. Indeed, they may not even be shared among development partners. Research may therefore involve contacting donors, UN agencies and INGOs with conflict-sensitive programs individually, as they may have conducted one-off assessments to inform program design or in the context of monitoring and evaluation (M&E) activities.

In conducting this review of available information/data relevant to risks of conflict and hazards, a critical appraisal should thus keep several key considerations in mind:

- *Have specific indicators been developed to measure the degree to which safety, resilience and social cohesion are addressed in the education system?*
- *Does the EMIS contain data that can be used to guide safety, resilience and social cohesion activities in an effective and equitable way?*
- *Does national or sub-national EMIS facilitate the prioritization of school retrofitting and replacement, rapid damage assessment, and response planning (e.g. with data on structural safety, enrollment, school calendar)?*
- *Does the EMIS include data and indicators adapted to describe the specific educational pathways of children affected by crisis, including out-of-school, non-formal and informal education?*
- *Are specific data collection exercises carried out to gather information on the education system's vulnerabilities?*
- *Where useful data and indicators appear to be available, what checks must be performed to ensure that their coverage is representative of all groups and areas, and their quality consistent?*
- *Do parallel data systems exist to monitor education in refugee camps, or through an inter-agency standing committee (IASC) or cluster, UN Office for the Coordination of Humanitarian Affairs (OCHA) or other donors and practitioners?*
- *To what extent do such systems capture the situations of children on the move, migrant children, asylum seekers and internally displaced persons (IDPs), that can place education systems under stress?*

- *Are such instruments shared with the ministry of education (MoE) department responsible for EMIS, ministry planning, and quality assurance?*
- *Is there scope for harmonization and integration of different data systems?*
- *Does analysis, where it exists, consider the fact that control and provision of education in conflict-affected areas can be one of the most politicized areas of service provision and is often the reason why technical solutions fail?*
- *Does analysis, where it exists, look beyond the national education system to the motivations and influences of international agencies with respect to national policy and practices, and the different political economy dynamics that operate in different parts of a country?*

This will be instrumental in determining what further data to collect and how to structure the analysis, as well as to formulate recommendations with respect to the need for a well-designed and well-functioning EiE M&E system, which is a fundamental tool for good governance of the system (see Section 4).

Approaches and Strategies to Fill Data Gaps

Situations where the available data are insufficient or incomplete may call for identifying other sources of data, or organizing specific data collection exercises. It is important to keep the tension between the validity of an analysis and the time window of its usage in mind. Even if data and information can be gathered, situations change quickly in fragile contexts and therefore educational analysis might become out of context if made slowly.

- *Desk reviews.* Several sources of information that are not inherently statistical in nature are likely to be available in any given context, including academic research, education policies and plans, vulnerability and needs assessments, school records, development partner or NGO project documents and monitoring reports, and social media.

- *Comparing pre- and post-crisis education data.* A valid approach to assessing the impact of a conflict or hazard on the education system is to compare pre-crisis data with post-crisis data. In CAR, for instance, the MoE was not able to collect data for the 2012/13 and 2013/14 school years due to the crisis, and in previous years only incomplete surveys were carried out due to pockets of insecurity that hampered data collection efforts. The 2017 ESA assessed the impact of the conflict on the education system by comparing pre-crisis 2010/11 data with post-crisis 2015/16 data. This was complemented and triangulated with data produced by the Education Cluster on the situation of schools in 2014 and 2015.

- *Conducting specific retrospective surveys.* This is more efficiently done before the ESA is launched, so that the data collected can be analyzed during the ESA process. It therefore requires advance planning as well as additional human and financial resources. It is important that national statistical institutions be involved in the design and implementation of such exercises. Ultimately, favoring the integration of risk issues within the EMIS questionnaire would be the way forward. For example, in Guinea-Bissau, Chad and Côte d'Ivoire, specific risk assessments were conducted. They consisted of a risk/vulnerability assessment at sub-national education level and/or at school level (Annex 12.1 provides a sample questionnaire, used in Guinea-Bissau).
 - *Risk/vulnerability assessment at sub-national level.* The idea is to gather information on the types and levels of risk/vulnerability that geographical or education administrative units (such as school districts) are facing. This information can be collected through a questionnaire for education officers on the various risks faced by their locality and their intensity, based on a series of selected questions.
 - *School-based risk survey.* Such a tool will collect the same type of information, although the level of reporting will be more precise, the unit of observation being the school. In addition, information on mitigation mechanisms put in place by various actors can be easily collected in such an exercise.
 - *Rapid assessments.* Rapid assessments can be particularly useful to obtain disaggregated data on numbers of displaced children in specific areas, as well as the numbers of destroyed or damaged schools/classrooms, of displaced teachers, or of schools closed and the reasons. The Education Cluster and the United Nations High Commissioner for Refugees (UNHCR) are usually able to provide support. However, the process is usually lengthy and costly. See JRNA, 2017 for a detailed example including the methodology (results presented in Box 12.3).

- *Participatory research.* On the other hand, where it is difficult to rely on established systems to collect the data and information needed, the analysis may need to be participatory.[42]
 - *National or community-level consultations.* Where data on the impact of education on risk mitigation and social cohesion are missing, it may be appropriate to organize specific consultations with national stakeholders as well as communities, through focus group discussions (FGDs) for instance, to clarify perceptions of the linkages between education and conflict/violence/lack of social cohesion.
 - *Key informant interviews (KIIs).* If information on risk and conflict management and mitigation policies and practices is not readily available, it may be necessary to conduct key informant interviews with MoE and Education Cluster/EiE coordination mechanism members.

Where qualitative research involves gathering information from individuals directly, either through interviews or focus-group discussions, it is important to ensure that a representative sample of persons are met, to avoid resulting bias: men and women, officials and civil society, government and rebels, national and international staff, and people from different cultural backgrounds, including children and youth as well as adults. Indeed, there are strong incentives for interviewees to express false preferences or inaccurate narratives in wartime or state of emergency, for their own security and protection, self-interest or self-image. Respondents may also misremember events or present common rumors as facts.

In such cases, it is particularly important to respect the good research practice of triangulation, considering with great caution any information the consistency of which cannot be confirmed by three different and independent sources, stakeholders, groups or agencies, including statistical data or methods, where available. In crisis or conflict environments in particular, misinformation can be widespread, and data may be subject to political bias.

Particular Considerations for Data Use in Risk Contexts

As readers will discover in more detail, in Section 2.3 in particular, the analysis of conflict and emergency contexts requires particular attention to several aspects, as well as particular consideration for potential sensitivities.

- *Data disaggregation*. The insight provided by the evaluation of the impact of a hazard or conflict will often be directly proportional to the level and type of disaggregation of data used. It is sensitive and contentious in many contexts (and difficult to get disaggregated data) related to ethnic group or religious affiliation, but these are often key categories in conflict-affected situations. In many cases and situations, sub-national region is a proxy for ethnic or religious group, but this does not work well to understand the dynamics of inequalities and conflict in urban populations. Always emphasize gender.

- *Double counting.* As emergencies generate tremendous goodwill from the international community, and national capacities are usually stretched, multiple parallel data systems may exist. It is important to capture them, but beware of double counting. It is common that many situations are reflected in multiple sources, and duplication will require time and effort to ensure analysis is relevant. The "We Made a Promise: Ensuring Learning Pathways and Protection for Syrian Children and Youth" report provides an illustrative example of this, concerning formal, non-formal and informal trend analysis (Brussels II Conference, 2018).

- *Non-formal education.* Data on non-formal education, by the varying nature of this type of learning, is difficult to come by. However, keep in mind that non-formal education may be far more common in crisis contexts. It is important to try and determine, for children who are not enrolled in formal education, the share that may nevertheless be receiving some education.

- *Refugees and refugee schools* are often managed separately and hence may not be part of the EMIS, even when it is functioning well for non-refugee schools. Countries where there is a strong humanitarian presence, and where the IASC cluster approach (see section 4.2.2) has been activated, typically have more humanitarian data than in situations of forgotten or unaddressed emergencies. It will be important to check.

- Internal displacement. Other categories of children at particular risk of both violence and social exclusion, as well as being forgotten by statistics, are those of migrants, families on the move and IDPs. Yet a recent report has estimated that a record 41.3 million people were displaced within their own countries because of conflict and violence as of end 2018, which is two-thirds more than the global number of refugees (IDMC, 2019). An ESA may want to highlight the scale of the problem, if only to contribute to break the vicious circle where in-depth analysis cannot be conducted because of lack of data, and the lack of attention in important publications fails to encourage greater efforts to document the issue.

- *Child safety and psychosocial welfare* are of concern to education in risk contexts. While they may not be direct educational goals, and relate more to social and protection programs, it should be kept in mind that learning is severely impaired when people are under stress, face threats of violence or bullying, or face ongoing risk or danger in emergency situations. Conversely, any direct education sector efforts to provide teaching and learning beyond the traditional curriculum topics, such as in socioemotional skills and resourcefulness, merit attention, as they will contribute both to quality learning outcomes and personal and community resilience.

SECTION 1

Overview and Mapping of Risks

The idea of providing a risk overview and map is to present a shared view of the risk landscape that a country and its populations face. The overview and mapping of risks in the context of an ESA relies on a four-step approach:

1. Presenting the overall country risk profile;
2. Identifying, describing and mapping hazards and conflict;
3. Understanding the causes of and interrelation between risks; and
4. Reviewing the potential consequences and effects of hazards and conflict on the population.

Ideally, information pertaining to the overview and mapping of risks should be included in the ESA Chapter 1.

1.1 The Country Risk Profile

The overall goal of a country risk profile is to provide a synthetic view of the national risk context, as background information for the more specific analysis of the education system to follow. Country risk profiles are used to provide in-depth information on risk in a particular country. The main risks facing the country can be identified by referring to one of a number of tools, which include:

- *INFORM (Index for Risk Management)*, presented below.
- *Fragile States Index (FSI)*, produced by the Fund for Peace, is a tool to highlight the stresses that all governments experience, identify when those stresses push a country towards the brink of failure, providing a political risk assessment and early warning of conflict.
- *Global Peace Index*, by the Institute for Economics and Peace, is an annual compilation of 23 qualitative and quantitative indicators, covering three areas: societal safety and security; ongoing domestic and international conflict; and militarization.
- *Global Focus Model* is a tool produced by OCHA that analyzes hazards, vulnerabilities and capacities at the country level, to create an annual risk index.

Such country profiles also help identify trends, make comparisons with countries with a similar risk level or regional and income-group averages, and provide more information at the indicator level.

INFORM

INFORM is a global open-source international model of risk analysis and measurement that identifies countries at risk from humanitarian crises and disasters that could overwhelm national response capacity. INFORM produces a composite risk indicator for 191 countries, on the basis of close to 50 indicators relating to three dimensions: hazards and exposure, vulnerability and lack of coping capacities. An overall score between 0 (low risk) and 10 (high risk) is given to each of these three components and an average is computed to determine the country's risk index.[43] INFORM country profiles contain more in-depth information on each country. In particular, they provide a breakdown of risk dimensions and components, with a score for each, and may in some cases provide sub-national ratings, historical trends and international comparisons.[44]

EXAMPLE 12.1

(INFORM Index Analysis): Average Global Risk, Despite Low Exposure, Due to Poor Capacity to Cope with Hazards, Guinea, 2018

Source: Adapted and translated from the Guinea ESA, 2019

Table 12.1 provides the overall INFORM risk index for Guinea, placing it in international context and offering a recent perspective of its evolution. The composite sub-indexes for the three dimensions that constitute the overall index (hazards and exposure, vulnerability and lack of coping capacity) are also offered, with the same detail. Figure 12.1 offers greater detail on each of the three sub-components in turn.

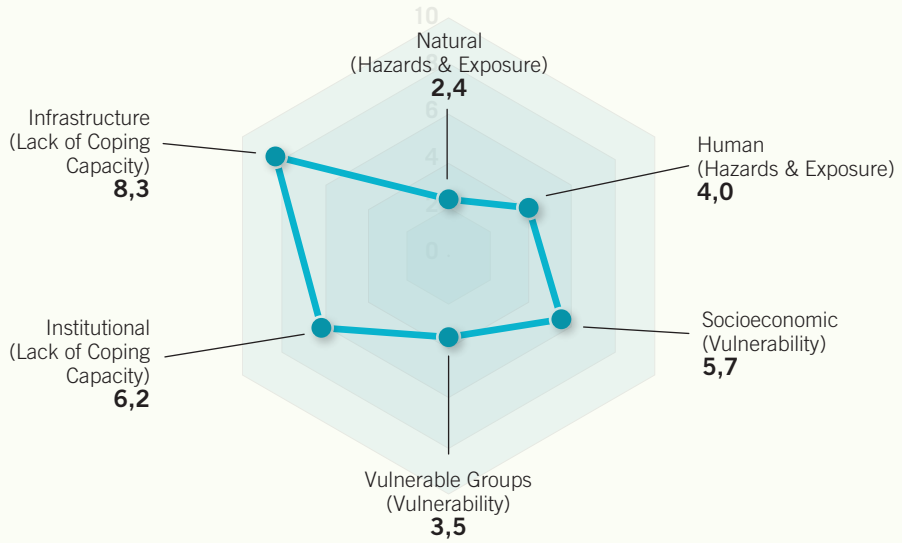
TABLE 12.1 Guinea's INFORM Risk Profile, 2018

	Value	Country Rank	3-Year Trend
INFORM Risk	5.0	45	↗
Hazard and exposure	3.6	86	↗
Vulnerability	4.7	52	→
Lack of coping capacity	7.4	15	→

Findings:

According to the 2018 INFORM ranking, Guinea has the 45th highest risk index in the world, with a global risk level having risen in recent years, the index reaching 5.0, against 4.6 in 2016. This level of risk places Guinea in the higher tier of countries with an average risk profile. The situation is explained mainly by the lack of coping capacity, for which the score of 7.4 is high, compared to a moderate level of exposure to hazards (score of 3.6) and average level of vulnerability (score of 4.7).

FIGURE 12.1 **Scores of the INFORM Index Components in the Guinea Risk Profile, 2018**



Findings:

The figure shows that the sub-score for 'hazards and exposure' is composed of a low score related to natural hazards, at 2.4, and an average score for manmade hazards, of 4.0. For the latter component, the country was characterized in 2018 by the relatively higher weight of the 'risk of conflict' sub-component, related to social demonstrations, violence against civilians and intercommunity tension, compared to the 'current conflicts' sub-component. In the 'natural hazards' component, the natural hazard presenting the highest level of risk was that of flooding, which accounts for 77 percent of all natural disasters having occurred between 1990 and 2014.

With respect to vulnerability, 'socioeconomic factors' (with a score of 5.7) contribute most to the overall rank, in particular the sub-component related to 'development and deprivation', with a high score of 8.3. This reflects a national situation where 55 percent of the population lives below the poverty line, and 57 percent have never been to school.

The starkest finding is however that Guinea ranks 15th worldwide in terms of poor coping capacities. These are particularly weak in terms of infrastructure, with a score of 8.3, related to poor access to health services (score of 9.3), poor communications networks (8.1) and physical infrastructure (7.4). These aspects all contributed to the late identification of and weak response to Ebola, for which the impact was greater here than in other countries as a result (mortality rate of 67 percent). The lack of institutional coping capacity is mainly linked to the governance element, with a score of 7.3.

1.2 Description and Mapping of Hazards and Conflict

After presenting the overall country risk profile, the main risks should be individually identified, based on their key characteristics such as occurrence, coverage, duration and intensity. It is essential to specify the geographic coverage of the various risks, and if possible to identify them at the lowest sub-national level. According to context, it may be advisable to differentiate at this stage between the types and characteristics of hazards, and the nature and scope of conflict. Composite risk indexes, and risk mapping at the sub-national level, are valuable tools.

1.2.1 IDENTIFYING AND DESCRIBING MAJOR HAZARDS

Identifying major hazards entails a description of:

- Hazard types: natural, biological, economic, sanitary, environmental, political and so on;
- Hazard characteristics (summary of what is known about each);
- Related shocks and stresses (long-term trends, aggravating factors); and
- Historical trends (examples of occurrences of disasters and crises).

Data and information may be sought in documents such as the national contingency plan, Capacity for Disaster Reduction Initiative (CADRI) assessment reports, and OCHA's Global Focus Model. Hundreds of humanitarian datasets are available on OCHA's Humanitarian Data Exchange (HDX), an open platform for sharing data about: (i) the context in which a humanitarian crisis is occurring (such as baseline/development data, damage assessments, geospatial data); (ii) the people affected by the crisis and their needs; and (iii) the response by organizations and people seeking to help those who need assistance.

For countries with a strong presence of humanitarian organizations, where OCHA is present and the IASC cluster approach has been activated, an analysis of humanitarian needs and of risks is usually available on a regular basis through the humanitarian needs overview (HNO) reports. Specifically, they provide data on: key figures regarding humanitarian needs and people in need, overall and by sector, including education; a description of the context and impacts of the crisis; and maps showing the vulnerability level of each region, based on a composite indicator developed using a needs comparison tool that compares the needs identified in datasets for each sector.

Such a descriptive exercise may also require a participatory approach, holding broad consultations with government officials and selected population groups at national and sub-national levels.

EXAMPLE 12.2

(Typology and Frequency of Risks): Participatory Assessment of Risks, their Frequency and Potential Domino Effects, South Sudan, 2014

Source: Report of UNICEF ESARO and IIEP-UNESCO Workshop on Mainstreaming Conflict and Disaster Risk Reduction (CDRR) in Education Sector Plans and Policies, Kampala, 29-31 October 2014

During a regional workshop on mainstreaming CDRR into education sector planning held in Kampala in October 2014, participants were asked to identify the hazards that their country and education sector were facing and their related frequency (e.g. monthly, six monthly, yearly). The table below illustrates the response from the South Sudanese team.

TABLE 12.2 Analysis of Type and Frequency of Hazards, National Level, South Sudan, 2014

Type of Conflict or Disaster Risk	Frequency (Monthly, Six Months, Every Year)
Drought	Every 4-5 years
Floods	Annual
Earthquake	Rare
Epidemics	Annual, especially cholera
Violent conflict	Regular (with use of arms)
- Ethnic conflict	
- Livelihoods (agricultural vs. pastoralists)	
- Culture of revenge (traditional conflict resolution exists, but not effective/short-lived)	

Findings:

Conflict has been recognized by participants as the main recurrent threat affecting the country and the education sector. Conflicts are regular, and often violent with the use of arms. They take various forms ranging from ethnic to pastoralist conflict, including grazing conflict and cattle rustling. The culture of revenge is also particularly pronounced and heavily embedded in society, being passed on from one generation to the next.

Floods are also particularly prevalent, occurring on a yearly basis. They are often associated with diseases such as cholera. Drought is more seldom, affecting the country every four to five years. Yet, drought can have major detrimental effects on the population and on children, leading to food insecurity and malnutrition. Conflict and drought while disturbing the local economy constitute major triggers for population displacement.

1.2.2 DESCRIBING THE NATURE AND SCOPE OF CONFLICT

Similarly, a description of the nature and scope of conflict will entail a review of the types of conflict (violent, terrorism, civil unrest, and so on), their respective characteristics, related stresses and historical trends. The Uppsala Conflict Data Program provides information on the scope, location and impact of conflict in most countries, by type (state-based, non-state and one-sided violence).[45]

Where conflict is a reality, it will be important to consult conflict-affected populations as part of the process. Perceptions (such as of inequality, discrimination or injustice) can be as powerful as data and statistics in terms of understanding the potential for violent conflict, even where people's perceptions are contradicted by the data. A further benefit of this sort of consultation is that it provides insight into tensions and grievances, which can be quite different in various parts of the country.

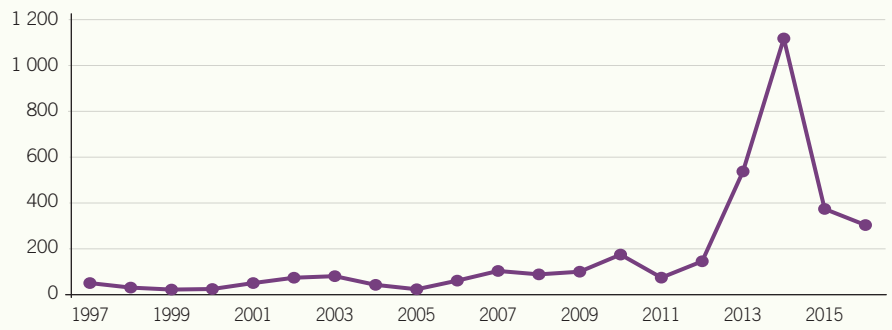
Armed Conflict Location & Event Data Project (ACLED) is the most comprehensive public collection of political violence and protest data for developing states.[46] These data and analyses produce information on the specific dates and locations of political violence and protest, the types of event, the groups involved, fatalities, and changes in territorial control. Information is recorded on battles, killings, riots and recruitment activities, of rebels, governments, militias, armed groups, protesters and civilians. It is designed for disaggregated conflict analysis and crisis mapping. This dataset codes the dates and locations of all reported political violence and protest events in over 60 developing countries. Political violence includes events that occur within civil wars and periods of instability.

EXAMPLE 12.3

(ACLED Data Analysis):
Conflict Types and Scope, Compounding Factors, Structural Causes, and Historical Trends, at National and Sub-National Levels, CAR, 1997-2016
Source: Adapted and translated from the CAR ESA, 2018

Over the 1997 to 2016 period, the total number of events linked to conflicts reported by ACLED for CAR, all conflict types combined, was 3,346. Figure 12.2 illustrates their frequency over time, while Table 12.3 provides data on the number of times each type of conflict was recorded over the period, and Figure 12.3 illustrates which provinces have been most affected each year from 2012 to 2016.

FIGURE 12.2 Trend in the Number of Conflict-Related Events, CAR, 1997-2016



Findings:
Several peaks are noted that testify to an increase in conflict-related events, in particular in 2003 (79), in 2007 (101), in 2010 (175) and in 2014 (1,121).

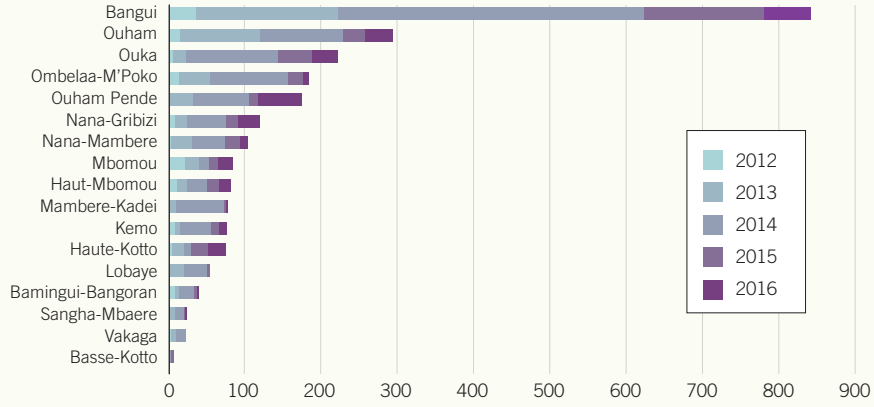
TABLE 12.3 Number and Type of Conflict-Related Events, CAR, 1997-2016

	Number	%
Violence against civilians	1,595	46%
Battles (between the government and armed groups)	980	28%
Demonstrations	489	14%
Strategic developments	323	9%
Non-violent takeover of territory	43	1%
Remote violence	11	0%
Headquarter and base establishment	5	0%
Total	3,446	100%

Findings:

The conflict types most frequently recorded are: violence against civilians (46 percent of conflicts), battles, between the government and non-state armed groups, or among the latter, to gain or regain control of a location (28 percent) and demonstrations (14 percent).

FIGURE 12.3 Number of Conflict-Related Events, by Province, CAR, 2012-16



Findings:

Since the beginning of the 2012 crisis during which the Seleka group came from the north to storm Bangui, this city has been the principal theatre of events related to this conflict, with 842 incidents recorded, the greatest number of which occurred between 2013 and 2015 (188 in 2013, 400 in 2014 and 157 in 2015). Bangui is followed by the provinces of Ouham, with 294 events reported between 2012 and 2016, Ouaka (222 events reported), Ombella-M'Poko (183 events reported) and Ouham Pende (184 events reported). Nana Gribizi and Nana Membere were also greatly impacted, with the number of events reported between 2012 and 2016 being 119 and 104, respectively.

1.2.3 COMPOSITE RISK INDEXES AND MAPPING AT THE SUB-NATIONAL LEVEL

Once the main hazards and conflicts have been identified, it will be essential to determine their geographical coverage. The objective of such an exercise is to identify the areas that are more prone to experience hazards and conflict in order to effectively assess effects, as well as prevention and preparedness measures in place, based on past or present exposure. In addition, this can also serve to highlight significant disparities between groups confronted with a high level of risk and those for whom risks are minimal, should they exist. Mapping offers a clear and visual representation of risks at the national and/or sub-national levels.

Composite risk indexes are useful in the mapping exercise, as well as in their own right. They provide a synthetic measure of the level of risk that exists in an area/locality, and facilitate the assessment of the effect of risks on the population.

Humanitarian Needs Overview
A cost-effective solution is to use pre-existing composite risk indexes developed nationally, such as the humanitarian needs overview (HNO)[47]. The HNO is designed to support the Humanitarian Country Team in developing a shared understanding of the impact and evolution of a crisis, as well as to help inform strategic response planning. Most importantly, it works to ensure that credible evidence and a joint analysis of needs underpin an effective and prioritized humanitarian response. HNOs provide a map of the level of vulnerability at the sub-national level for each country.

UN/OECD Risk and Vulnerability Diagnosis
The UN system is collaborating with the OECD to develop a common risk and vulnerability diagnosis to better understand people and systems' resilience to a broad range of risks and stressors to inform United Nations Development Assistance Framework (UNDAF) Country Common Assessments (CCA).

Development of Independent Risk Indicators
When sub-level aggregated risk indicators are not available, it may be necessary to craft one as a last resort, if time and resources allow. A first step is to collect relevant existing information on recorded risks from credible national sources, ministries and NGOs. This information can be used to devise a synthetic risk index, using weights according to the frequency, coverage and intensity of the risk. The approach to do this is further detailed in Section 2.2.

EXAMPLE 12.4

(Sub-National Risk Mapping): Risks Faced by Urban, Rural and Kuchi Households, Afghanistan, 2005, 2007-08 and 2011-12

Source: Adapted from the National Risk and Vulnerability Assessment 2011-2012 (Afghanistan CSO, 2014)

The periodic national risk and vulnerability assessment (NRVA) conducted in Afghanistan investigates the shocks experienced by households in the 12 months preceding the interview. A basic distinction is made between generic shocks, which relate to general occurrences that can possibly affect an entire community, and idiosyncratic shocks, which refer to events affecting specific households or persons, such as the death of a household member, loss of employment or a burnt-down home.

TABLE 12.4 Experience of Household Shocks, by Survey Year and Residence, Afghanistan, 2005-12

	Generic shocks							Idiosyncratic shocks
	Any shock	Drinking water	Agricultural	Natural disaster	Security	Food and farm prices	Epidemics	
NRVA 2011-12								
Urban	77%	36%	8%	26%	6%	64%	5%	23%
Rural	85%	48%	44%	38%	17%	58%	13%	20%
Kuchi	94%	78%	62%	37%	32%	76%	15%	38%
National	84%	47%	37%	36%	15%	61%	11%	22%
NRVA 2007-08								
Urban	34%	6%	5%	18%	2%	4%	0%	15%
Rural	72%	21%	24%	44%	13%	3%	--	31%
Kuchi	81%	28%	48%	40%	13%	--	0%	37%
National	65%	18%	22%	39%	11%	3%	0%	28%
NRVA 2005								
Urban	18%	23%	10%	36%	9%	27%	9%	26%
Rural	51%	25%	48%	55%	12%	19%	10%	10%
Kuchi	52%	30%	68%	40%	9%	9%	8%	15%
National	45%	25%	47%	53%	11%	19%	9%	11%

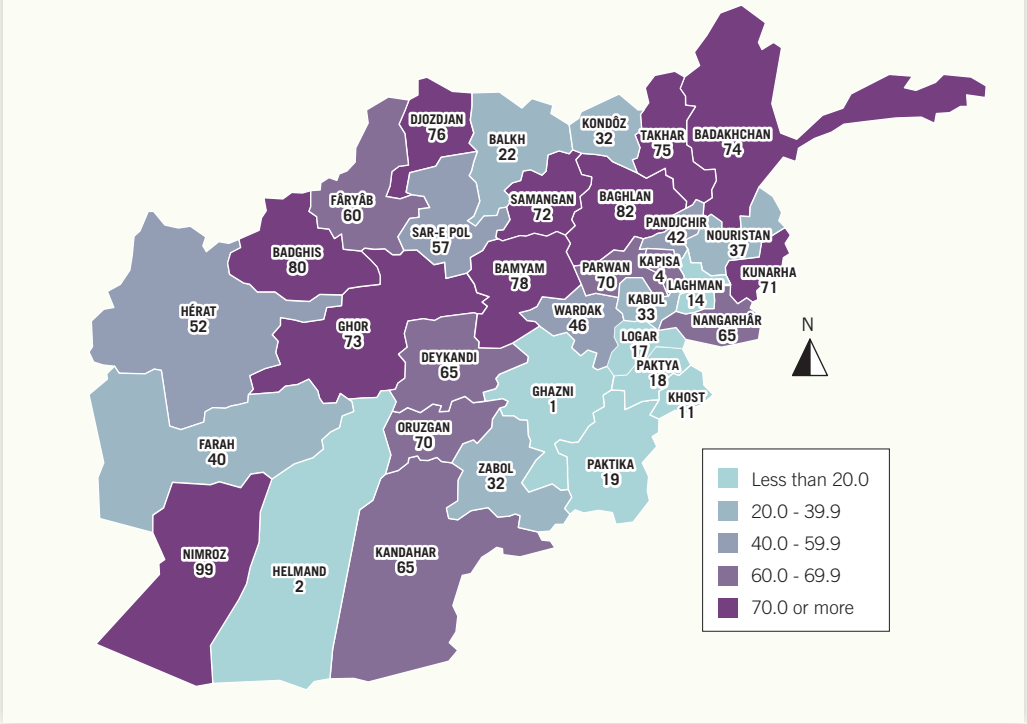
Findings:

A large majority (84 percent) of households reported the experience of a shock during the year before the survey, which is much more than in 2007-08 (65 percent) and 2005 (45 percent) (see Table 12.4). The overview of shocks experienced in different years shows large fluctuations, which partly describes the changing situation on the ground and probably also reflects a changing perspective or reporting tendency, in part. It can be observed that urban households are less exposed to most shocks than rural and especially Kuchi households. The share of households having reported the experience

of a security shock has increased for all areas of residence since 2007-08, and particularly so for Kuchi households (32 percent, against 13 percent in 2007-08).

Particular rises were observed for shocks related to drinking water, and food and farm prices. This may be related to the drought experienced in the northern provinces in 2011. Next to rise in food prices, the single shocks mentioned most frequently by households were drinking water quantity (40 percent), drinking water quality (35 percent) and agricultural water availability (26 percent) (data not shown). The map shows the percentage of households that were affected by drinking water problems, by province. The belt of northern provinces stand out as a region that suffered drought in 2011. With respect to natural disasters, the most commonly encountered problems were severe winter conditions (26 percent), flooding (18 percent), late damaging frosts and heavy rains (both 17 percent).

MAP 12.1 **Share of Households Suffering a Shock in Access to Drinking Water, by Province, Afghanistan, 2011**



Several other examples of how risks can be mapped are offered throughout this chapter. Example 12.11 maps the severity of risks at the community level in Syria; Example 12.14 presents the share of schools and number of pupils in high-risk areas in conflict-affected provinces in DRC; and Example 12.15 displays the hazards impacting the school network, by education directorate in Côte d'Ivoire.

1.3 The Causes of and Interrelation between Risks

Providing context-sensitive responses to risks will require a more detailed understanding of their nature, as will any efforts to prepare for and mitigate future hazards and conflict. A risk-sensitive ESA is the opportunity to untangle what is often a complex mesh of causes, consequences and links, for planners and decision makers to best orient their efforts and investments. Several approaches are covered here, including a conflict causal analysis framework, and the problem-tree approach to determining risk interrelations.

1.3.1 CAUSAL ANALYSIS

Analysis of the root causes of hazards is particularly useful to effectively identify policy levers for change. Natural hazards are increasingly related to human and social behavior, and are often the cause of agricultural and economic shocks, in turn. The causal chains are therefore ever more complex to untangle. It is necessary to mention the key findings of any such analysis that has been conducted.

Causal analysis is particularly relevant in conflict situations, and is then defined as the systematic study of the profile, causes, actors and dynamics that promote either violent conflict or peace, as well as their interactions with education programs or policies.[48] Conflict analysis should capture the multidimensionality of conflict (political, social, economic, security, human rights, etc.). In particular, it should:

1. Analyze and map the various stakeholders in the conflict, including the key actors who are directly involved, as well as those who may influence it or are affected by it, including their perspectives, needs and interactions with each other;

2. Analyze the conflict dynamic, the patterns and forces that connect or divide social groups, ensuring consideration of gender, identity, geography and age. Dynamics may be related to groups, processes, mechanisms, practices, policies and institutions;

3. Identify and classify the various root and proximate causes of conflict. Root causes are the underlying socioeconomic, cultural, and institutional factors, including specific issues and differences dividing people, related to their values, views, interests, or access to resources. Proximate causes are circumstances contributing to an escalation of tensions and creating enabling environments for violence;

4. Analyze the triggers of conflict, meaning the actual events that provoke an outbreak of violence, such as elections, military coups, or sudden food price hikes.

BOX 12.2 USAID Conflict Causal Analysis Framework

Conflict profile

A 'snapshot' of a given national or regional context.

- What is the political, economic and sociocultural context?
- What are the emergent political, economic, ecological and social questions?
- What are the conflict-affected geographical areas that are concerned?
- What rights are being or have been violated as a result of the conflict?

Causal analysis

Identifies and classifies existing and potential causes of tension or conflict and their linkages. This includes structural/root causes, immediate causes and conflict triggers.

- What are the key sources of tension and the underlying structural causes (e.g. economic inequality, education inequalities, poor governance, human rights violations)?
- What are the main root (structural) causes of the conflict? Root causes are pervasive factors that have become built into the policies, structures and fabric of society.
- What issues can be considered as immediate causes of conflict? Immediate causes are factors contributing to a climate conducive to violent conflict or its further escalation, sometimes symptomatic of a deeper problem.
- What triggers can contribute to the outbreak/further escalation of conflict? Triggers are simple key acts, events, or their anticipation that will set off or escalate violent conflicts.
- What new factors (especially education) contribute to prolonging conflict dynamics?
- What factors (especially education) can contribute to promoting peace?

Source: USAID, 2015

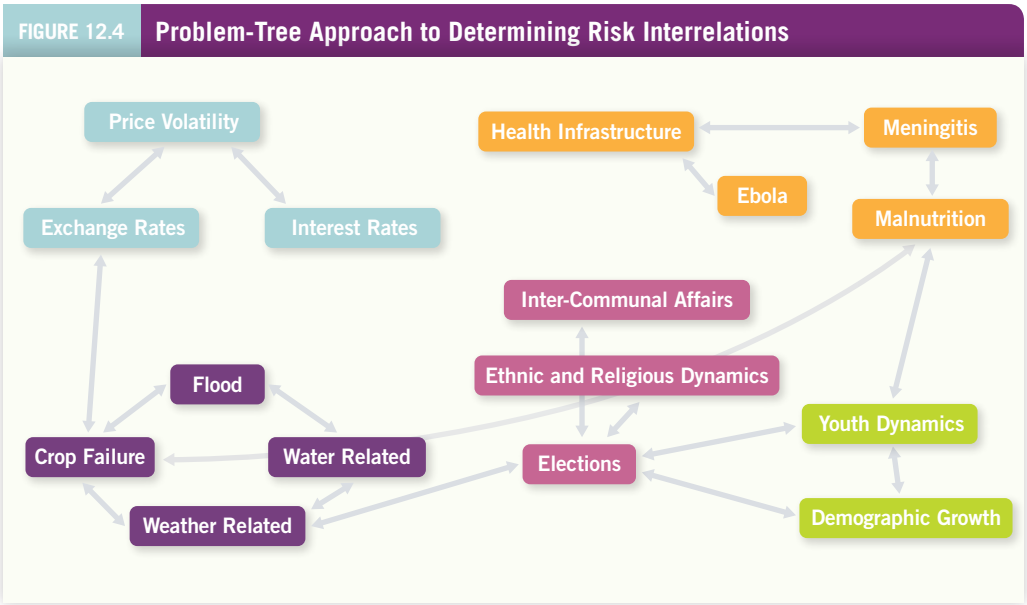
1.3.2 UNDERSTANDING THE INTERRELATIONS BETWEEN RISKS

Risks are rarely isolated phenomena. It might be of interest to provide an overview of the various risks and their interrelationship, using a problem-tree approach. This tool assists in analyzing an existing situation by identifying the major problems and their main causal relationships. The output is a graphical arrangement of problems differentiated according to 'causes' and 'effects', joined by a core, or focal, problem. This technique helps understand the context and interrelationship of problems, and the potential impacts when targeting projects and programs toward specific issues.[49] By creating a hierarchy of risks in such a way, one gets a powerful representation of how risks interrelate with one another, allowing for a deeper understanding of the root causes and the various channels through which risks are playing against and affecting each other.

This approach helps address the complexity of risks and their inter-linkage in a simplified way. For instance, it can help understand how disasters can trigger economic shocks and how conflict can also leave people more exposed to disaster (OECD, 2014). For example, the risk of displacement in eastern DRC is not a root risk, but actually a consequence of other risks, including the risk of conflict or of volcanic eruption. Some risks are also heightened by the presence of stresses: the risk of price volatility is compounded by the dual stresses of a high dependency on exports and an unfavorable business environment.

A simplified version is presented in Figure 12.4, where risks and their interrelations have been connected, with specific color-codes attributed to the different types of risk identified (e.g. natural/environmental, political, social, health-related and economic). Such tools are best elaborated in groups involving a broad range of stakeholders, under expert facilitation.

FIGURE 12.4 Problem-Tree Approach to Determining Risk Interrelations



Source: Derived from OECD, Resilience Systems Analysis, 2014

The example below, from Chad, relates to a complex emergency including natural hazards. It highlights the causes and consequences of intertwined drought-related hazards that the country faces.

EXAMPLE 12.5

(Problem-Tree Analysis):
The Risk of Drought, its Underlying Causes and Effects on Other Risks, Chad, 2011

Source: Adapted and translated from the Chad ESA, 2014

Three-quarters of Chad's territory is in the arid zone (Saharan and Sahelian climates), heavily exposed to drought phenomena. The central and northern regions are heavily threatened by desertification. Among other risks faced by the country, a vulnerability assessment identified drought/food security as a critical one. The table below summarizes the findings from the working group's discussions on underlying causes of the risk of drought and its potential effects on other risks.

TABLE 12.5 Underlying Causes and Effects of Drought, Chad, 2011

Type of Risk	Underlying Issues/Causes	Potential Effects	Zones at Risk
Drought	› Low level of rain › Low level of soil fertility › Inadequate water management › Inadequate irrigation system management › Inadequate farming practices (disappearance of fallow land, etc.) › Overgrazing › Decrease in agricultural production › Insufficient access to food › Increase in prices/reduced purchasing power	› Food insecurity, food scarcity › Population displacement towards more favorable geographical zones, which entails: › Increased demographic pressure in hosting zones and forced cohabitation › Increased malnutrition (direct effect on morbidity and mortality) › Weakened immune system › Potential for increasing child labor, reducing school demand, overcrowding host community schools	Kanen Bahr el Ghazal Batha Est Ennedi/ Wadi Fira Ouaddai Sila Salamat Guera Lac

Findings:

Drought is caused by several concomitant factors: desertification, loss of crop fertility due to water and wind erosion, and misuse of space by unsuitable rural production systems. It is combined with structural weakness in cereal agricultural production, which covers only slightly more than 55 percent of needs. Food security is based on a precarious balance and each episode of drought, adding to the structural deficit, can potentially precipitate the country into a food crisis.

The recurrent droughts and weakened livelihoods in the central and northern parts of the country generate continuous movement of populations to the more humid southern and central regions. In particular, there is a phenomenon of sedentarization of nomadic populations in the southern regions. This leads to an increase in demographic pressure and land tenure problems and cohabitation on host lands, potentially evolving locally as violence.

According to the Environmental and Social Management Framework, north-south environmental migration is also a major cause of environmental degradation in the southern regions:"Traditional practices of conservation and restoration of the environment are gradually abandoned due to lack of time and space. The fallow period is decreased, the production of coal and the cutting of firewood for its sale is increasing, useful trees are felled, etc."

Recurrent drought contributes to a substantial decrease in the incomes of poor households, which has consequences for children's schooling. Child labor is already an endemic phenomenon in Chad, but the precariousness of livelihoods following periods of drought can reinforce this.

The precariousness of livelihoods also implies higher risks of food insecurity for children. In July, nine regions exceeded the WHO alert threshold, two vastly so (Bahr el Ghazal and Kanen). From a quantitative point of view, the increase in morbidity due to acute malnutrition in children could have a strong impact on school retention. From a qualitative point of view, numerous studies have shown that the cognitive abilities and educational performance of children are seriously affected by chronic or acute malnutrition, and iodine deficiency in particular.

1.4 The Consequences and Effects of Hazards and Conflict on the Population

Once the main hazards have been identified and analyzed, it is important to look at how they affect the population at large and to ultimately assess their severity. Indeed, while certain hazards might be rare, their disruptive effect might be huge. An example of this is the 2013-14 outbreak of the Ebola virus in West and Central Africa. On the other hand, most frequent hazards like regular floods might have limited effect on the population. This section may involve several complementary descriptive approaches, outlined below.

1.4.1 DESCRIBING THE IMPACT OF HAZARDS AND CONFLICT

Assessing the effect of hazards on the population requires the consideration of three dimensions: (i) the extent of the population's exposure to the hazard; (ii) the vulnerabilities; and (iii) the capacities and coping strategies deployed to mitigate risks. More specifically, one should assess these dimensions by analyzing the aspects listed below (please note that the list is not exhaustive).

Exposure

Number of persons, animals and resources exposed to hazards, and location, by type of risk:

- Population, in terms of age group (children, adults, elders), gender, income, ethnicity (caste, religion, language), occupation, education, and settlement type (rural or urban);
- Livelihoods, including livestock, crops, cattle, industries;
- Critical facilities, including healthcare (hospitals, clinics, basic health units), educational institutions (schools, universities, learning centers), warehouses, stockpiles, banks, police stations, fire stations; and
- Infrastructure, including roads, bridges, airports, ports, railways, dams, telecommunication networks, power supplies.

Vulnerability

- The characteristics of communities, livelihoods, facilities and infrastructure that make them susceptible to the damaging effects of a hazard or conflict, such as health and nutrition; morbidity and mortality levels; the availability, quality and location of shelter; the lack of diversification of family revenue; subsistence economies.

Coping strategies, including adjustment and adaptation measures put in place

- The measures, resources and tools that institutions, communities and households have put in place to deal with and mitigate the effects of the risks. These may include government safety nets, emergency response protocols and evacuation plans, the designation of safe-houses, or adaptive behaviors such as changes in consumption levels, increased labor and migration.

EXAMPLE 12.6

(Human and Economic Cost of Natural Hazards): A Statistical Review of People Exposed, Affected and Killed and Economic Impact of Natural Hazards, Mozambique, 1980-2010

Source: Authors based on information collected at country level

A review of natural hazards was conducted in Mozambique in 2013. Beyond data on the number and types of risks that the country had witnessed over the 1980-2010 period, the number of casualties and population affected was recorded as the estimated economic costs of such phenomena.

TABLE 12.6 Risks Overview, Mozambique, 1980-2010

Natural Hazards (1980-2010)	
Number of Hazards	75
Number of People Killed	104,840
(Annual Average)	3,382
Number of People Affected	23,317,164
(Annual Average)	752,167
Economic Impact (Thousands of US$)	802,650
(Annual Average) (Thousands of US$)	25,892

TABLE 12.7 Population Mozambique Exposed by Risk

Type of Hazard	Population Exposed	Country Rank
Cyclone	233,559	21/89
Drought	1,356,890	46/184
Flood	114,760	24/162
Landslide	568	79/162
Earthquake	23,309	91/153
Tsunami	8,540	46/76

Findings:

From 1980-2010, Mozambique recorded 75 cases of natural hazards, causing the death of a total of 104,840 people and affecting more than 23,3 million inhabitants. Drought represents the major threat, affecting more than 1.3 million people, followed by cyclones (233,559) and floods (114,760). Earthquakes and tsunamis also had adverse effects on the population, though at a much smaller magnitude.

In addition to taking a heavy toll on the population, natural hazards created major costs for the economy. The total economic cost of these hazards was estimated at US$802 million over the period 1980-2010 or US$25 million annually.

In contexts where the crisis has triggered population displacement, it will be important to present data on refugees, returnees and IDPs. Maps from OCHA, UNHCR or the Internal Displacement Monitoring Centre (IDMC) can also be used. It is also useful to present data on the impact of conflict on children. For example, when a country is listed in the United

Nations Secretary General's annual report on children and armed conflict, data from the Monitoring and Reporting Mechanism (MRM) country task team can be referenced. These reports indicate the armed forces or armed groups who recruit, use, kill or maim children, and rape or commit other sexual violence against children, and urge parties involved in armed conflict to develop and implement time-bound action plans to halt these grave violations against children (Security Council Resolutions 1612 [2005] and 1882 [2009]).

EXAMPLE 12.7

(Impact of Armed Conflict on IDPs): Trends and Distribution of IDPs, and Violation of Children's Rights in Armed Conflict, DRC, 2001-12

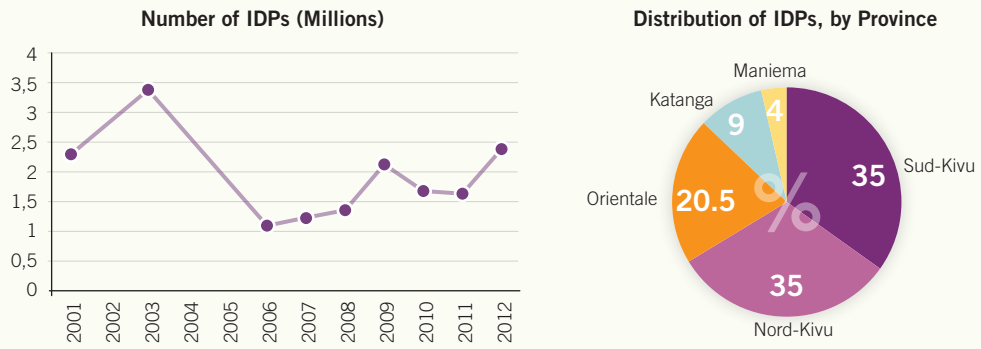
Source: Adapted and translated from the DRC ESA, 2014

The DRC faces a complex situation in terms of population movements. Armed conflict has led to significant numbers of IDPs, and refugees fleeing abroad; as the intensity and location of conflict evolves, many IDPs are able to return to their homes; and conflict beyond the country's borders means that it also absorbs refugees from abroad. The 2014 ESA provides some insight.

Findings:

The number of IDPs was estimated at 2.4 million in December 2012, on the rise since June 2011 when it stood at 1.65 million. The provinces most affected are Sud-Kivu (844,737 IDPs), Nord-Kivu (772,459) and Province Orientale (497,568), followed by Katanga (224,084) and Maniema (89,470). Displaced persons are given accommodation in host families (87 percent), as well as in impromptu campsites (13 percent). However, simultaneously, people were returning to their region of origin. Thus, between 1 April 2011 and 30 September 2012, 972,082 IDPs returned to their area of origin within DRC: 340,684 to Nord-Kivu, 281,320 to Sud-Kivu, 180,144 to Equateur, 79,709 to Province Orientale and 24,365 to Katanga.

FIGURE 12.5 **Trend in the Number of IDPs, 2001-12; and their Distribution by Province, DRC, 2012**



The several armed conflicts (local and national) also forced many Congolese to find refuge in neighboring countries (estimated at approximately 450,000 in 2013). But foreign refugees are also

found on Congolese soil, in numbers (estimated at 183,675 in 2013). The vast majority are from Rwanda (69 percent) or CAR (22 percent). Among them 55 percent are children under 17 years (101,591), half of which are girls. The provinces that absorb the greatest number of refugees are Nord-Kivu (105,962 refugees), some distance ahead of Equateur (34,282), Sud-Kivu (27,954) and Province Orientale (11,633).

Between January and September 2012, 32,149 protection incidents were recorded in Nord-Kivu, Sud-Kivu, parts of Province Orientale and parts of Katanga (HCR protection monitoring). Throughout the first semester of 2012, 4,353 cases of sexual violence were reported. Many cases of abuse of children were also observed. The numbers provided, far from portraying the scope of reality, do however illustrate the types of violence that children endure.

TABLE 12.8 Violations against Children's Rights in Armed Conflict, DRC, 2009-12

	2009	2010	2011	2012
Children newly recruited by armed forces and groups	848	447	272	578
Including girls	52	49	13	26
Including Nord-Kivu (% of the total)	77%	74%	97%	80%*
Children having left or fled armed forces and groups	2,672	1,656	1,244	1,497
Children killed	23	26	10	154
Children seriously injured	12	16	14	113
Attacks against schools and hospitals	N/A	23	53	33

** For Nord-Kivu and Sud-Kivu.*

Note: Data relate to cases reported and verified by in-country protection officers, in consultation with the Office of the Special Representative of the Secretary-General for Children and Armed Conflict. The real number of cases of abuse may be much higher.

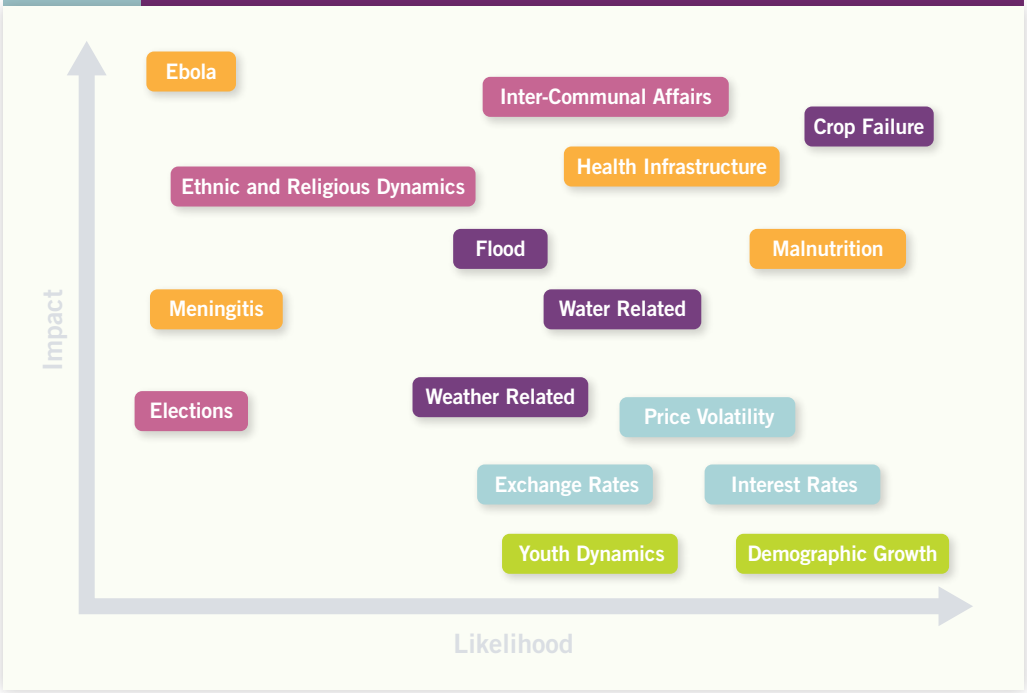
1.4.2 ESTABLISHING THE SEVERITY OF RISKS

Where this has not been embedded in earlier analysis, it is important to also determine the severity of risks through an analysis of their potential impact on the population, in particular where the country risk profile or the description of hazards and conflict have highlighted complex situations where several different types occur. In situations of limited resources, this will ultimately help planners to prioritize and focus their disaster and emergency management efforts.

Risk Heat Map

A visual representation can be very helpful to determine the severity of risks. A simple but very effective approach is the risk heat map. This involves plotting risks on a two-axis diagram, according to their likelihood of occurrence (X-axis) and their impact (Y-axis). In this instance, the impact dimension should encompass the three dimensions described earlier: exposure, vulnerability and capacity. The figure below provides a theoretical illustration.

FIGURE 12.6 Risk Heat Map, Prioritizing Risks by Probability of Occurrence and Impact



Source: Adapted from OECD, Resilience Systems Analysis, 2014

While the likelihood of an outbreak of Ebola is small, its impact is devastating when it occurs, in terms of both mortality and the general paralysis of political, social and economic spheres required for quarantine. This makes it by far the most threatening of the health risks (see orange in Figure 12.6 above) considered. Conversely, demographic growth may only have a limited short-term impact, placing a marginally greater pressure on resources and public services, but the phenomenon is constant.

SECTION 2

The Effects of Risks on Education

In crisis situations, the education system may be burdened by large classes, teacher shortages, language of instruction issues, inadequate school supplies, and damaged infrastructure and facilities, creating strains on access, quality and learning achievements. Furthermore, schools are often used as shelters, thus becoming unavailable for instruction, and may suffer damages from this alternate use often for prolonged periods. Teachers and other personnel services can also be lost to other work if closures are prolonged, or in situations where compensation is halted or delayed, severely reducing availability of services. It is necessary that all of these considerations be reflected in the ESA in terms of recovery costs and needs for both the sector and affected populations.

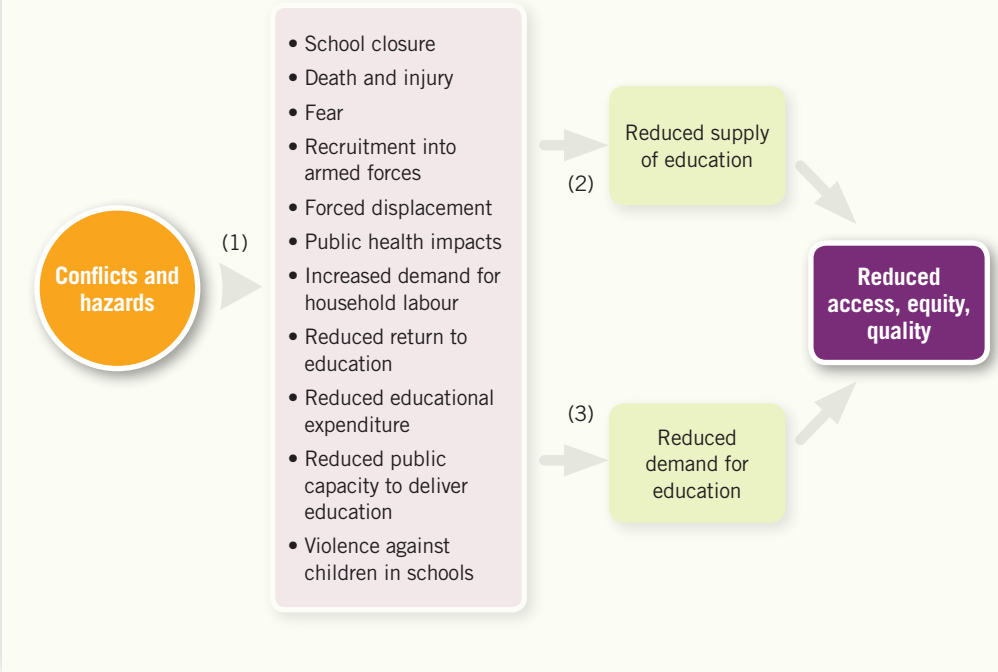
The purpose of the analysis in Section 2 is to understand the extent to which hazards and conflict have affected the education system during the ESA time frame. More specifically, it takes account of how risks have affected schooling, from both supply and demand perspectives; service delivery, considering access and participation, pathways and internal efficiency, quality inputs and learning conditions, and learning outcomes; and education sector financing. The approaches involved in this analysis are some of the more technical and quantitative in this chapter, and will show readers the value of computing synthetic education risk indexes, as well as correlating EMIS data with risk indicators.

2.1 The Effects of Hazards and Conflict on Education

Figure 12.7 summarizes how education systems can be impacted by conflicts and hazards. In this section, the analysis of the effects of risks on education will focus on each of the elements and sub-elements reflected in Figure 12.7.

In situations where a crisis or emergency is so widespread that the ESA has the vocation to inform a transitional emergency plan, it will be helpful to review the key contextual challenges posed through a broad lens. The GPE/IIEP-UNESCO Guidelines for Transitional Education Plan Preparation provide a helpful framework (GPE/IIEP-UNESCO, 2016), organizing the components of analysis into five themes (macroeconomic and financial, demographic, sociocultural, politico-institutional contexts, and vulnerability analysis) to support the identification of challenges and their potential causes, with an eye towards addressing those challenges during the planning period.

FIGURE 12.7 Channels through which Risks Impact Education



Source: Adapted from Jones and Naylor, 2014

When describing the impacts of risks and crisis on education, not only the direct impacts should be considered but also the indirect impacts. For example, children might not be going back to school just because of danger/fear of hazard and attacks, or because of the economic shock that conflict creates, which disproportionately affects the poor. Because of conflict, food insecurity is worse and prices of staple foods rise, which increases the opportunity cost of education for the poor, leading to increased cases of child labour and other negative coping mechanisms for survival. As a result children may drop out of school to contribute to the household livelihood/survival.

2.1.1 DESCRIPTIVE/QUANTITATIVE SURVEY OF RISKS TO THE EDUCATION SYSTEM

It is useful to start by describing how many schools and/or school inspections are affected by risks at the national level, and, if possible, to provide a breakdown by risk. If no national data are available, a representative sample could be used.

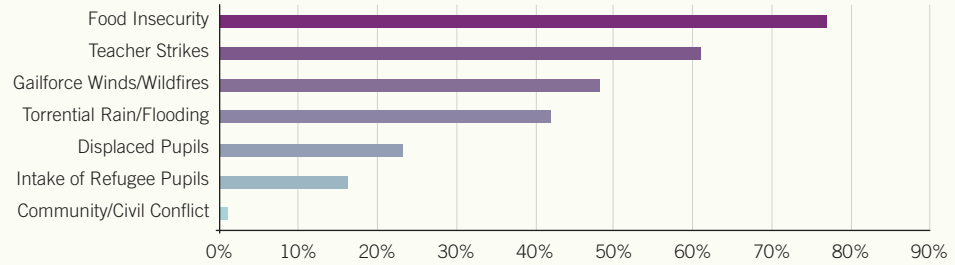
EXAMPLE 12.8

(Quantitative Survey of Risks to Education): Districts and Schools Affected by Natural and Manmade Risks, Guinea-Bissau, 2015

Source: Adapted and translated from the Guinea-Bissau ESA, 2015

To appraise the significance importance of the risks the education system faces in Guinea-Bissau, a brief survey was conducted in the context of the sector analysis, collecting information from 23 inspectors and 72 headteachers. The following figure shows the share of interviewees who declared each of the mentioned threats to be real, in their inspection or school.

FIGURE 12.8 **Share of Inspectors and Headteachers Indicating that their Inspection/School was Affected by Different Risks, Guinea-Bissau, 2015**



Findings:

The results show that food insecurity presents the greatest risk to the education system in Guinea-Bissau, according to officials in the field. Indeed, 77 percent of interviewees felt that pupils' families had been impacted. Teachers were more likely (89 percent) to believe that pupils had been affected than inspectors (65 percent), and may represent a better measure of the hazard, being closer to families. This certainly corroborates the findings of a World Food Programme (WFP) survey conducted in September 2013 that found that 93 percent of the population faced food insecurity.

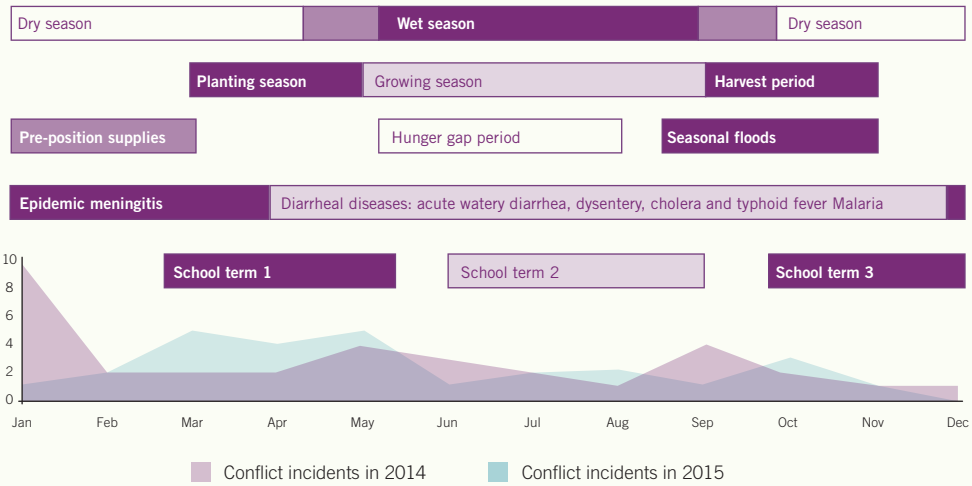
Teacher strikes are the second most significant threat to the normal operations of the education system. The high percentage of interviewees (61 percent) signaling the existence of strikes in 2013 shows the extent to which schooling was paralyzed, in particular as it was common for the entire school or inspection staff to be involved. Although this situation improved in 2014 and 2015, the threat still exists and calls for the creation of a sustainable dialogue framework between unions and government.

Torrential rain and flooding are also a significant risk to education, having affected the areas of half of interviewees during the rainy season, and should be considered in the context of 34 percent of school infrastructure being built with temporary materials and that pupils have no transportation.

Finally, the survey results indicate that no local-level conflicts, if they exist, are significant enough to represent a risk to education. This is paradoxical, considering the chronic instability at the head of government. It is possible that this political and institutional instability is limited to the central level, and fails to translate into conflict among communities at the deconcentrated or local level. This institutional crisis does nevertheless weaken institutional governance at the local level, and that of schools in particular.

In countries facing seasonal risks, it would be relevant to overlay the school calendar with the seasonal risk calendar, such as in the figure below.

FIGURE 12.9 Calendar Overlay of Key Seasonal Events, Hazards, Conflict and School Terms, South Sudan, 2014-15



Source: OCHA, 2015 in South Sudan ESA, 2017

2.1.2 IMPACT OF HAZARDS AND CONFLICT ON EDUCATION SUPPLY

The first step is to describe the impact of hazards and conflict on the delivery of education services for the school-aged population. For this purpose, it may be useful to investigate possible impacts along the supply chain, but at a minimum a core analysis should focus on the impacts related to education infrastructures and physical assets, to teachers, and to school functioning.

Direct effects on the infrastructure and physical assets of the education system include buildings, furniture, equipment and other facilities associated with education, such as recreation grounds, school sanitation and water facilities, school libraries, etc. In addition to total physical damage or partial damage to the infrastructure as a result of a hazard, there is also potential damage arising out of temporarily using the facilities as shelters or relief centers.

In addition, the effect of disasters and conflicts on public infrastructure such as roads, water supplies and transport facilities may indirectly affect physical access to schools and delivery of goods and services that are vital to a quality education. Although these public

infrastructures do not fall directly within the jurisdiction of the education system, their damage affects access to and quality of education; hence it is necessary to describe such damage.

It is important to try to quantify the decline in the number of education days and months caused by interruptions in service and access due to the disaster, including due to teacher absence, whether voluntary (strikes) or involuntary (school closure, suspension of pay). Sometimes entire school years have to be cancelled as the system is non-functioning. Trend analysis should be performed with caution; it is important to keep in mind that increases might simply be the result of better reporting.

One can rely on the following (non-exhaustive) indicators when analyzing the impact of hazards and conflict on education supply:

- *Number and percentage of schools and classrooms closed, destroyed or occupied due to crisis*, complemented by the potential number of students concerned by the disruption and the economic loss corresponding to the damages and destructions
- *Number and percentage of schools that are physically inaccessible due to the crisis*, complemented by the related number of affected pupils
- *Number and percentage of temporary learning centers requiring repair or replacement*, in particular where hazards such as monsoon or typhoons are seasonal
- *Percentage of learning materials needing replacement each season*
- *School maintenance costs as a percentage of construction/infrastructure costs*, when setting up camps/temporary settlements
- *Number of school days lost due to the crisis*, and the direct or indirect effects
- *Number and percentage of teachers who have left their posts due to a crisis*, or teacher attrition rate, by type (government, contract, volunteer, community, camp facilitator), complemented by the number of days of teacher absence
- *Number and percentage of teachers who have continued to receive a salary during the crisis*
- *Number of reported targeted attacks on education*, complemented by a description of the nature of the attacks
- *Number and percentage of children or households with electricity, connectivity, and technological devices, laptops, smartphones, television, radio, that could be used for remote learning during school closures*

EXAMPLE 12.9

(Impact of Risks on Education Supply): Schools and Pupils Affected by Floods and Conflict, Mali, 2012-16

Source: Adapted and translated from the Mali ESA, 2018

The first table below gives an example of the effect of floods on schools in Mali. The figures in the table refer to reported cases; i.e. there may have been more schools affected than those for which data was reported. The second table reports the number of schools closed in May 2016 due to the conflict in Northern Mali. It includes the number of pupils affected and the main reason for closure in the region.

TABLE 12.9 The Impact of Floods on Schools and Pupils, Mali, September 2012

Region	Flooded Schools	Occupied Schools	Affected Pupils
Bamako	0	4	792
Kayes	109	14	28,124
Koulikoro	28	6	6,572
Mopti	39	16	11,407
Segou	33	38	11,675
Sikasso	3	0	651
TOTAL	**212**	**78**	**59,221**

Findings:

Schools were affected by floods in two different ways: 212 schools were flooded, while 78 schools were occupied by affected populations. This situation has led to disruption of education for 59,221 pupils. As this example only looks at the disruption of education supply, pupils who were not able to reach their schools while their schools were functioning have not been included here.

TABLE 12.10 Schools Closed due to the Northern Crisis, Mali, May 2016

	Number of Schools Closed	% of Schools	Number of Pupils	Main Reason
Region				
Douentza	7	3.5%	163	Indirect Threat
Gao	89	12.8%	2,626	Indirect Threat
Kidal	50	70.4%	0	Indirect Threat
Mopti	104	21.9%	12,308	Direct Threat
Tombouctou	52	8.3%	1,930	Indirect Threat
School Ownership				
Community	3	3.1%	163	Indirect Threat
Madrassa	9	4.0%	516	Indirect Threat
Private	7	5.1%	0	Indirect Threat
Public	283	17.6%	16,348	Indirect Threat
Total	**302**	**14.6%**	**17,027**	**Indirect Threat**

Findings:
Approximately 15 percent of schools were not functioning due to various reasons linked to the conflict. With the exception of Mopti, the most frequent reason for school closure was indirect threats. In Mopti, the most frequent reason cited was direct threats. Public schools were particularly affected in comparison to private, community-based and Islamic schools (madrassas); this warrants further investigation as to why this was the case. Community-based, private and Islamic schools might be more flexible to the population's needs, or might rely on local human resources for teaching and managing the school.

Attacks on Schools

In conflict settings, recent years have seen an increase in attacks on education institutions. It is therefore relevant to document attacks on schools, in particular the number of schools attacked, the type of attacks, and if possible the perpetrators. This important area is very sensitive, as analysis will only be of value if all cases are documented, including when education is disrupted should state security forces use schools or education premises as bases. Reporting on non-state actors only will be perceived as bias. Such data can be obtained either from the Education Cluster, or from the Monitoring and Reporting Mechanism (MRM) country task team, or from the Global Coalition to Protect Education from Attack (GCPEA).[50]

Where possible, understanding the perpetrators' motives for the attacks will help to appraise the nature of the issue, and extent to which it may be circumstantial, or systemic. In Afghanistan for instance, a study by the Overseas Development Institute (ODI) found that "[a]s symbols of the occupation, schools and teachers were targeted by Taliban fighters, though attacks were sporadic rather than systematic ... Attacks on teachers were expressly intended to force them to stop working with the government ... In 2009, the Taliban removed the provision authorizing attacks on schools from the code of conduct, and by 2011 the number of incidents had dramatically declined ... schools continue to be used as bases and firing positions by all parties to the conflict. However, the Taliban official policy is not to attack schools that are functioning as places of education, and in several instances communities have been warned to stay away from schools during active fighting." (Jackson, 2018).

EXAMPLE 12.10 **(Attacks on Schools): Looting and Occupation of Schools during the Crisis, CAR, 2012-15**

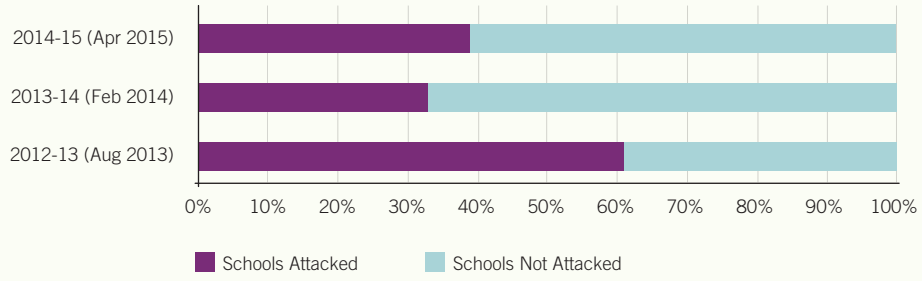
Source: Adapted and translated from the CAR ESA, 2018

Attacks against education started at the beginning of the crisis in CAR, and increased markedly from 2013. The nature of the attacks recorded varies according to education districts and which armed groups operated in each area. Schools were looted (doors, roofs, desks, materials and school manuals); lost the food supplies they had obtained in the framework of school feeding programs; and were used as temporary shelters by the population, or as operational bases by government and non-state armed forces. Furthermore, teachers and headteachers were threatened for having taken measures to re-open schools that interfered with the activities of armed groups. Rapid Assessments were carried out by the Education Cluster in August 2013, February 2014 and April 2015.

Findings:

Between December 2012 and August 2013, 108 surveyed schools out of 176 (61 percent) had been subject to looting and vandalism, 16 had been hit by bullets or shells, and 4 had burnt down. At least 24 schools were occupied or used by combatants in the provinces of Bamingui-Bangoran, Kemo, Ombella-M'Poko, Bangui, Haute Kotto, Nana Grebizi and Ouaka, of which 4 by the army. The vast majority of schools reported considerable damage following their occupation.

FIGURE 12.10 **Share of Schools that Suffered an Attack, CAR, 2013-15**



Findings:

The February 2014 assessment recorded 111 cases of schools being attacked, out of the 335 schools surveyed (33 percent). Bangui (16 schools attacked), Ouham (16 schools) and Ouaka (13 schools) were the areas where the greatest number of attacks were recorded, with most being looted and occupied by armed groups. In April 2015, of the 328 schools surveyed by the Education Cluster, 128 had suffered an attack (38 percent), an increase on the shares of previous years. Here again, the looting of infrastructure constituted the most frequent form of attack. Indeed, about 70 percent of schools surveyed were looted, be it by the population or armed groups, and 22 percent were occupied by the latter.

A further, alternative approach to appraising the impact of risks on education supply is illustrated by the risk severity ranking of communities in Syria, based on the breadth of education needs, in relation to access, infrastructure and teacher deployment indicators.

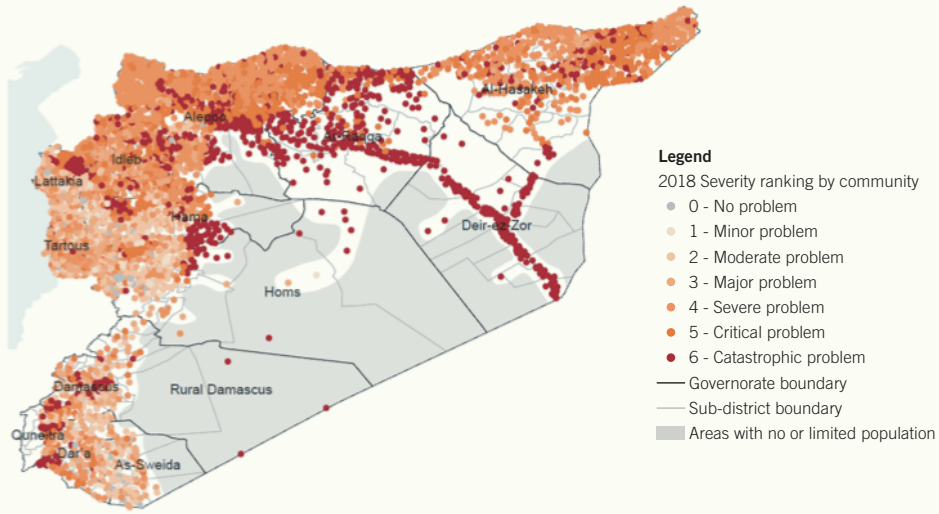
EXAMPLE 12.11

(Education Risk Severity Scale): Community-Level Education Needs, Syria, 2017

Source: OCHA, Whole of Syria Education Sector, 2017

An education severity scale is generated by the Whole of Syria (WoS) education sector to describe the needs in education and to guide the geographical focus of education response. The scale is initially calculated at community level. The calculation assigns heavier weight to the enrollment, availability of learning facilities and availability of teachers' indicators. These indicators are sensitive to the IDPs caseload and intensity of conflict indicators. The severity scale is updated twice per year based on data from EMIS, the multi-sectoral need assessment (MSNA), population estimate and areas of influence (AOI) and is triangulated with other survey findings by UN agencies or think tanks. Annex 12.2 explains the detailed methodology used to devise the severity ranking.

MAP 12.2 Risk Severity Ranking at the Community Level, Syria, 2017



Disclaimer: The designations employed and the presentation of material on this map do not imply the expression of any opinion whatsoever on the part of the Secretariat of the United Nations concerning the legal status of any country, territory or aera or of its authorities, or concerning the delimitation of its frontiers or boundaries.

Creation date: November 2017

Source: ICHA, Whole of Syria education sector

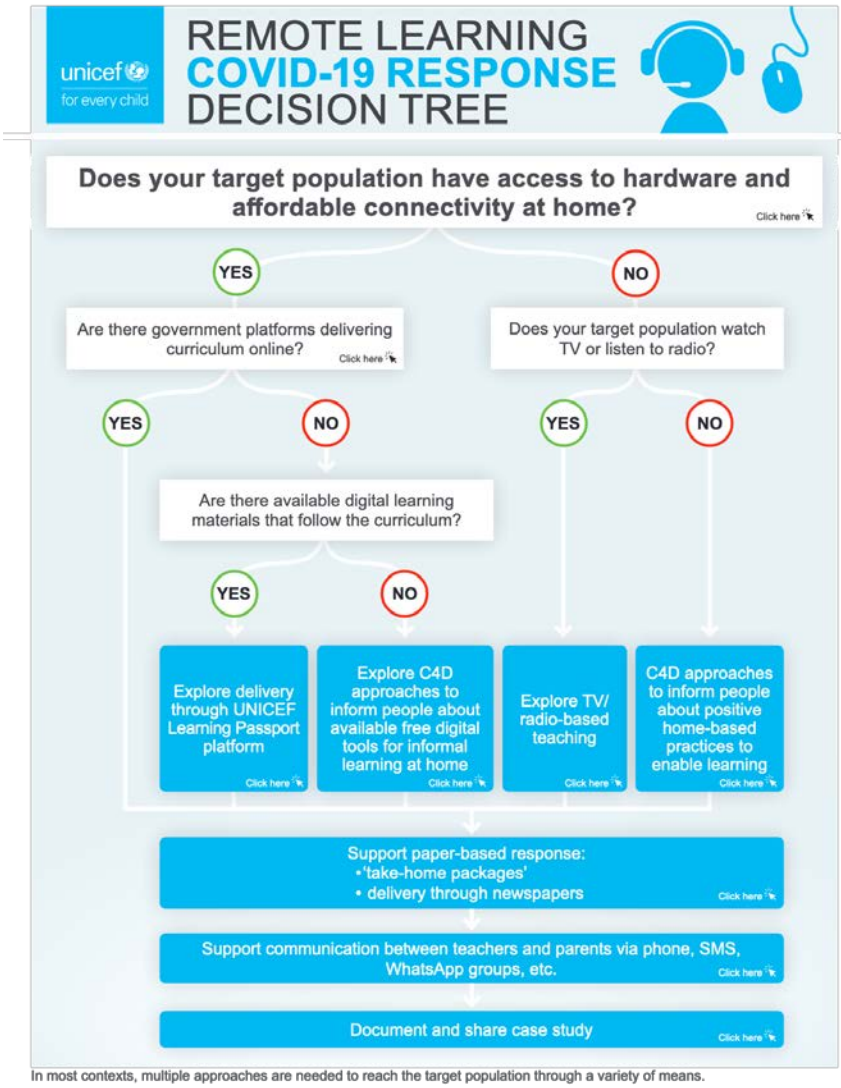
Findings:

The governorates facing the most widespread severe risk at the community level are those of Ar-Raqqa, where active hostilities and increased influxes of IDPs were registered in 2017, Deir-ez-Zor, Hama and Aleppo.

COVID19 Pandemic causing the widespread closure of schools around the world

Widespread school closures during COVID-19 has highlighted the need for more resilient education systems with methods to deliver learning remotely when schools are shut. However, access to technologies to facilitate remote learning are not equitably distributed, across groups and regions, with the poorest least likely to have access to different technologies that may be used in remote learning (Television, Smartphones, Radio, Internet, Electricity, Mobile Phones) (Dreesen et. Al, 2020). To help guide development of appropriate policies to continue children's learning during school closures, Ministries of Education and education actors can use simple tools such as the UNICEF-developed remote learning decision tree.

(https://inee.org/system/files/resources/UNICEF_COVID19_DECISION_TREE_V8_CLICK_HERE.pdf)

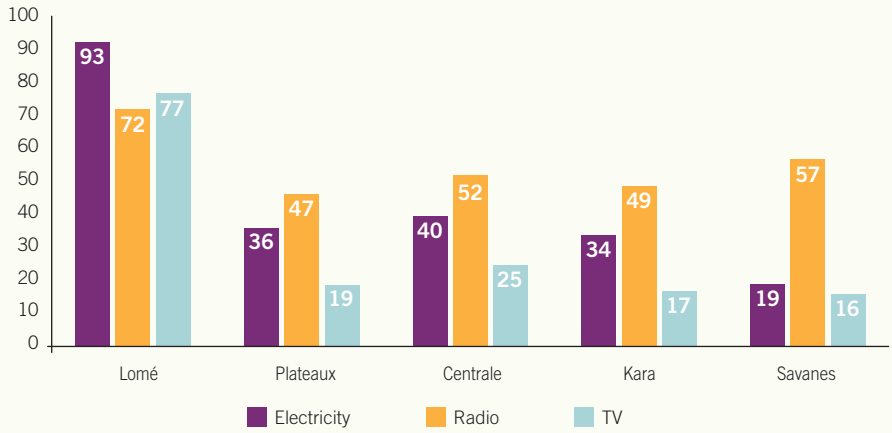


In most contexts, multiple approaches are needed to reach the target population through a variety of means.

Analysis of recent household surveys can provide insight into types of technologies owned by various groups, in different localities. This analysis can support education sector planning for times of school closures and remote delivery of learning. Sub-country analysis can identify areas and populations which may need additional support and different delivery methods (see example with data from Togo below)

EXAMPLE 12.12 **(Access to technologies): Sub-National Analysis for Remote Learning in Togo**

FIGURE 12.11 **Togo - % of Households with Access to Technologies for Remote Learning, by Region**



Findings:

A simple analysis of the household access to electricity, radio and TV shows vast inequities between regions. In Lomé the capital region, access to each technology is high with electricity rates of 93%, 72% of households own radios and 77% own TVs. The Savanes region on the other hand has the lowest levels of electrification at 19% but higher rates of radio ownership at 57% than the Kara (49%), Centrale (52%), and Plateaux (47%) regions. This example illustrates the challenges to providing equitable remote learning, in countries with very different levels of technology ownership between groups. Education officials can use survey data available to understand areas where additional support and investment is needed to reach learners, and design remote learning systems that ensure are accessible to the most marginalized.

Education opportunities arising from the crisis

It is also useful to document any education offer stemming from the crisis. For instance, in CAR, the MoE, with support from UNICEF and other partners set up 315 temporary spaces for learning and child protection in IDP camps between April 2014 and November 2017. This allowed thousands of children to continue their education, despite having fled from their home area or their school being destroyed (CAR ESA, 2018). In Jordan, the huge influx of Syrian refugees has strained the human and financial resources of the education system, resulting in overcrowding, double shifts, reduced class times and a decline in the quality of education. In response, the government has: (i) rented school buildings; (ii) redistributed the school map for the integration of small schools; (iii) improved mapping processes to more accurately assess the extent of overcrowding and develop a more coherent strategy for constructing new school facilities; and (iv) prepared a plan for Syrian refugee students, identifying the need to establish 51 schools in the various governorates (Jordan ESP, 2018).

Non-formal education

The analysis of the impact of risks on education supply should also include consideration of non-formal education opportunities, including accelerated learning if any. Indeed, in the medium term, if numerous children have lost many years of education as the result of a crisis, the general formal stream may not be adapted to their needs, even where it is free and accessible, or pathways may not exist that enable children to rejoin the formal education system.

It is important to assess how many children are able to follow non-traditional education pathways. These may not be captured in usual education indicators. This analysis should also be combined with a qualitative analysis of the adequacy of the supply (types of opportunities offered) as compared to the needs. Issues of education discontinuity, already a challenge within the formal education system when higher grades of formal education are not available, are even more salient with regard to non-formal education.

COVID-19 school closures and the need to mitigate learning loss

Global school closures due to COVID-19 present what has been called "an unprecedented risk to children's education, protection and well-being" (UNESCO et al, 2020). The World Bank estimates that approximately $10 trillion in earnings could be lost to the current cohort of learners due to lower levels of learning and their potential for dropping out of school (Azevedo et al, 2020). In the case of widespread and prolonged school closures accelerated learning and remedial programs become more critical in order to mitigate learning loss (Nugroho et. al). The UNESCO UNICEF World Bank WFP UNHCR Framework for Reopening Schools (https://www.unicef.org/media/71366/file/Framework-for-reopening-schools-2020.pdf) recommends countries implement large-scale remedial programs to mitigate learning loss together with parallel accelerated education models to integrate out-of-school or over-age children.

2.1.3 IMPACT OF HAZARDS AND CONFLICT ON EDUCATION DEMAND

Analyzing the impact of risks and crisis on education demand refers to investigating the effects of risks and crisis on the propensity of the population (parents and children) to participate in education. In this regard, it would be useful to have evidence about the opinion and decisions of parents, care-takers and children themselves about education in light of the crisis situation. A short questionnaire to collect household opinions could be developed and implemented for this purpose.

In addition, an analysis is to be performed about crises-related issues that are likely to negatively impact on education demand. For instance, lack of safety on the way to school, teenage pregnancies, child marriage, food insecurity, child labor and exploitation including recruitment in armed forces and groups, forced displacement, or decline in the economic profitability of education are likely to impede the demand of education from households. In the case of a long-term crisis, it could be interesting to assess the extent to which the crisis has affected household income given the fact that a loss in income may result in reduced demand including education demand.

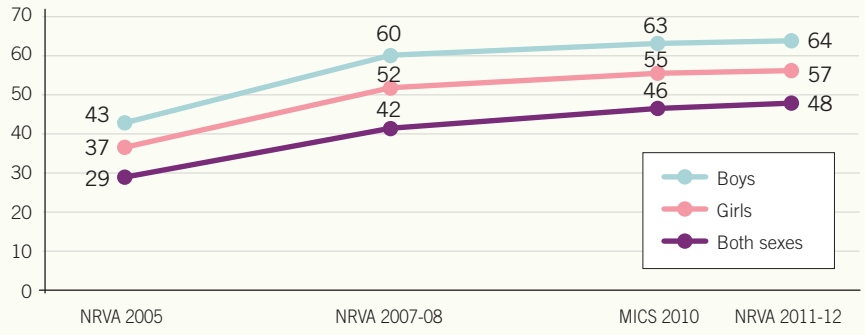
EXAMPLE 12.13

(Impact of Risks on Demand):
Insight into Demand-Side Factors Affecting School Attendance, Afghanistan, 2011-12
Source: Adapted from the National Risk and Vulnerability Assessment 2011-2012 (Afghanistan CSO, 2014)

Afghanistan is a country with a high-risk profile, due to a combination of climatic and natural circumstances and being a historically grown hotbed of social and political conflict and economic vulnerability. Consequently, household and community assessments depict challenging and uncertain living conditions for a large majority of the population.

The periodic NRVA conducted in Afghanistan compiles net attendance ratios for all education cycles. While the results indicate that well over half the population of primary-school age and around one-

FIGURE 12.12 Primary Cycle Net Attendance Ratio, by Gender, Afghanistan, 2005-12



third of secondary-school age are in school, they also imply that large numbers (2.1 million and 2.5 million, respectively) are not. Access to education and actual attendance are multi-faceted issues, which involve, on the demand side, economic, cultural, security, health and distance considerations.

Findings:

Surveys demonstrate a pattern of improvement in net attendance ratios since 2005. However, Figure 12.11 suggests a rapid improvement until 2007-08 and subsequently a relatively lower pace of improvement. A likely explanation may relate to the disappearance of the catch-up effect of children entering primary school after having missed the opportunity to do so during the years of the Taliban regime, during which girls were prohibited from attending school. A second possible explanation could be the increasing difficulty of overcoming obstacles to education once the easy-to-reach and education-inclined population segments have been serviced.

As can be seen in Table 12.11, the reasons why potential students do not attend education vary considerably by age, residence and gender. Insecurity is primarily a rural obstacle for participation in education, affecting 7 percent on average. Beyond the distance to or absence of educational facilities, that is primarily a supply-side issue, the most important reason for girls not to attend education is a complex mix of cultural considerations. For boys on the other hand, economic considerations, predominantly the need to work for the family, are the main reason. Nationwide, this explains almost as much non-attendance of secondary-aged pupils (42 percent) as of tertiary aged students (46 percent).

TABLE 12.11 Reasons for Not Attending School among Population Aged 6-24 Years, by School Age and Gender, Afghanistan, 2011/12

	School-age								
	Primary			Secondary			Tertiary		
	M	F	Total	M	F	Total	M	F	Total
National	**100%**	**100%**	**100%**	**100%**	**100%**	**100%**	**100%**	**100%**	**100%**
Distance/access	33%	29%	31%	24%	22%	23%	14%	20%	17%
Economic reasons	11%	4%	7%	42%	5%	19%	46%	3%	23%
Cultural reasons	7%	34%	23%	5%	52%	35%	5%	53%	31%
Insecurity	6%	5%	6%	4%	5%	5%	6%	7%	6%
Problems with school	21%	14%	17%	16%	10%	12%	10%	7%	8%
Child too young	14%	9%	11%	0%	0%	0%	0%	0%	0%
Other reasons	7%	5%	6%	8%	6%	7%	19%	9%	14%

According to the NRVA, no less than 84 percent of households reported for the year preceding the survey experiencing one or more household shocks (see Example 12.4), including food and farm prices, drinking water supply and agricultural problems, most of which are related to the combination of a largely agricultural society, harsh climatic conditions, underdeveloped farming and veterinary support, and natural disasters (reported as shocks in their own right by 36 percent of households). The NRVA indicates among key coping strategies that many households have resorted to removing children from school and placing them in low-paid jobs.

Food Insecurity and Alignment of School Feeding to Needs

In food insecure contexts, school feeding is an important lever to support students' participation in school. It is therefore useful to assess whether school feeding is in line with the crisis needs. Many indicators can be used: number of schools with a school feeding program, number of students benefitting from school feeding program, number of breakfasts or lunch served (daily, weekly, annually), etc. These numbers can be related to the total number of schools or students in the country or region, leading to percentages that can be easily analyzed and compared among non-affected regions, districts, etc. While distinguishing the source of funding, the cost of the program can also be analyzed and unit costs calculated per student or per meal served.

Perceptions of Safety and School-Related Violence

This section should review what information exists both on violence in and around schools and existing mechanisms to address it. This can be assessed through looking into official databases (e.g. EMIS, social affairs/child protection registries), through a review of existing legislation, codes or frameworks, and by asking students, parents and teachers.

Students' perception of safety in and around schools is an important aspect, as schools (or going to school) sometimes may not be safe for children in conflict-affected areas. Data on perceptions of safety are not available from traditional sources, hence a specific survey or data collection process is usually required. It is also worth analyzing teachers' perception of safety, as teaching personnel may be a target of armed forces and victims of violence in conflict-affected areas.

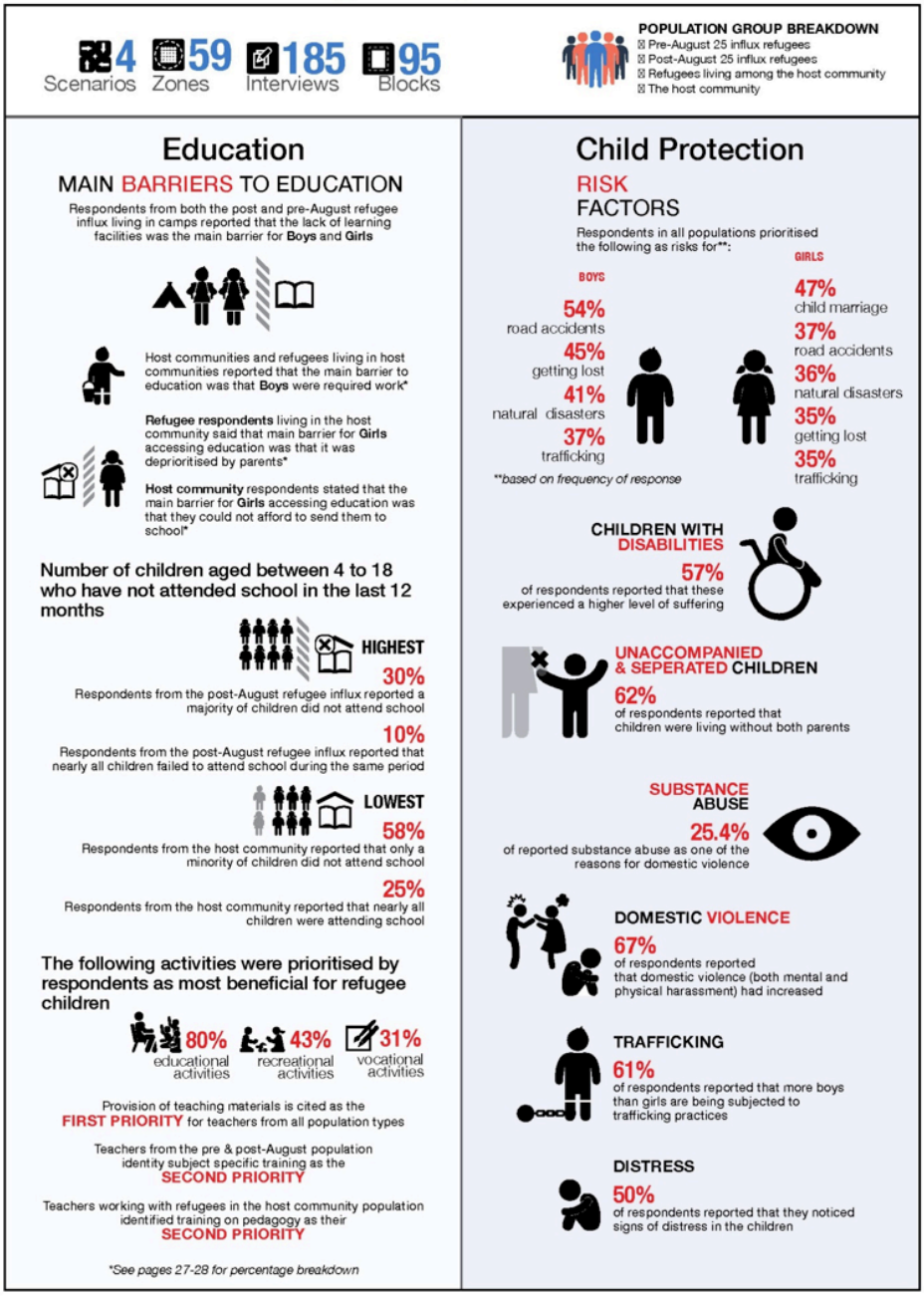
Beyond perceptions, school-related violence has become a serious concern in recent decades in many countries, and is not limited to conflict-affected settings. However, it has been well established that countries undergoing armed conflict or inter-communal conflict often see a rise of violence within domestic settings and within learning environments. Therefore, it is relevant to analyze here any data linked to violence against children in school settings, such as school-related gender-based violence, the use of corporal punishment, bullying, or violence between peers. Such data may be captured in the EMIS or logged in child protection/social affairs registries.

Violence in school is compounded by violence or threats of violence on the way to school. A number of strategies exist to address violence in and around schools. Some of these include the establishment of codes of conduct, training/sensitization of education staff and communities or the establishment of referral pathways and safe complaints mechanisms.

Education Demand Arising from the Crisis

Just as a disaster or crisis can create circumstances whereby in given locations, the supply of education is increased, population displacements have the effect of relocating demand for education services, whether by IDPs or refugees. An important aspect of the appraisal of the impact of hazards and conflict on education demand, particularly where the effect is widespread and expected to be long-lasting, is therefore to conduct a needs assessment. Box 12.3 provides an illustration of the result of that conducted for the Rohingya refugees in Bangladesh.

BOX 12.3 **Education and Protection Needs Assessment for Rohingya Refugees in Bangladesh, 2017**



Source: JRNA (Joint Rapid Needs Assessment), 2017

2.2 Creation of Synthetic Education Risk Indexes

Composite risk indexes, of the type used in Section 1.2.3, provide a synthetic measure of the level of risk that exists in a locality. For the purpose of this chapter, to effectively describe how the education system is exposed to these risks and the breadth of their impact on schooling, education synthetic risk indexes are particularly helpful. Where education-specific indexes are not available, one can be devised. Three potential approaches are considered here that can be used or combined according to the national context. Further detailed illustration of the approaches used is provided by the methodological note on devising the Whole of Syria (WoS) severity scale of education communities, presented in Annex 12.3.

1. Using an existing composite risk index, such as the HNO, and combining this with EMIS data at the local level;
2. Categorizing the level of vulnerability of education districts on the basis of secondary information sources; and
3. Directly creating a synthetic education risk index, on the basis of a survey of risks and vulnerability at the school and district level.

Once a synthetic education risk index has been identified, selected or created, assuming at the district level, it can be used in several ways, including to: (i) compare the value of the index from one district to another; (ii) compute the share of districts in a high risk situation; (iii) map the location of the districts in a high risk situation; and/or (iv) create a risk profile of provinces, by calculating the number or share of their districts whose risk index is above a given threshold.

2.2.1 COMBINING A COMPOSITE RISK INDEX WITH EMIS DATA

This approach is described in the example below, which uses the HNO index in South Sudan. It presents the advantage of being able to quickly harness an existing composite risk index. On the other hand, such indexes are rarely computed at a highly disaggregated level, usually covering regions and provinces, but possibly not districts, and certainly not schools. Secondly, relating the synthetic index with EMIS data may face issues if administrative divisions within the country do not precisely match education authorities.

The approach to harnessing composite indexes to create a synthetic education risk index would involve these steps:

1. Selecting key education indicators for which data are available and reliable, for the desired time frame and all areas deemed to be affected by hazards or conflict within the country;
2. Ensuring that the indicators selected cover key aspects of education access, equity and quality;
3. Checking that the indicators are not highly correlated, and reiteratively fine-tuning the list until an acceptable shortlist is reached;
4. Computing average indicators for the above for each of the lowest sub-divisions in the country for which the HNO index is available;
5. Giving each average indicator a rank, with a value between 0 and 1, where 0 is attributed when the value of the indicator is very favorable (high enrollment or low dropout), and 1 is attributed when the value of the indicator is disastrous (low gender parity, high pupil-teacher ratio). Note that the value of the rank may be inversely proportional to the value of the indicator, depending on its nature;
6. Assigning weights to each of the average indicator ranks retained and the HNO index, based on an appraisal of their comparative importance in the local context;
7. Creating a formula to produce a synthetic risk index, based on the combination of each of the average indicator rank values and the HNO index, and their respective weights; and
8. Appraising the results in the light of local expert knowledge, to confirm the validity of the formula used, and reiteratively adjusting weights as appropriate to obtain coherent results.

EXAMPLE 12.14

(Synthetic Education Risk Index Using HNO): County-Level Risk Based on the Severity of Humanitarian Needs, South Sudan, 2015

Source: Adapted from the South Sudan ESA, 2017

OCHA South Sudan regularly consolidates a series of indicators collected by humanitarian clusters at county level to construct four 'relative severity of needs' indexes for (i) conflict and displacement; (ii) death, injury and disease; (iii) food and livelihoods insecurity; and (iv) widespread malnutrition. These four indicators are then combined through a weighted formula to create a synthetic risk index.

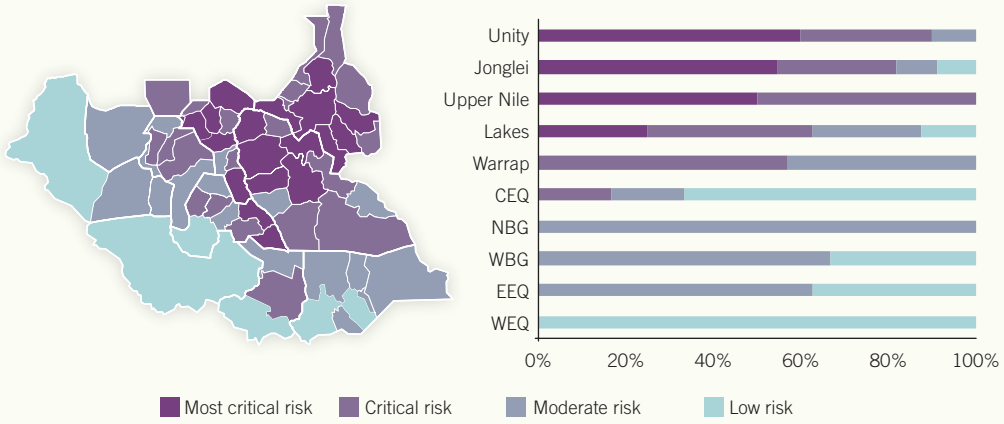
For the 2017 ESA, synthetic indexes provided by OCHA for October 2014 and April 2015 were averaged to produce a synthetic risk index for early 2015, coinciding with the beginning of the school year (see Table 12.12). Counties were then ranked according to their mean index value and divided equally into four risk groups, from low (Level 1 – counties with the lowest values) to most critical (Level 4).

TABLE 12.12 County-Level Risk Based on OCHA HNO Indicators, South Sudan, Early 2015

State	OCHA County	Risk Indexes			Risk Indexes	State	OCHA County	Risk Indexes			Risk Indexes
		2014	2015	Mean				2014	2015	Mean	
Jonglei	Canal	0,68	0,80	0,741	4	Lakes	Rumbek North	0,25	0,39	0,323	2
Jonglei	Duk	0,79	0,68	0,733	4	EEQ	Ikotos	0,21	0,42	0,317	2
Upper Nile	Baliet	0,76	0,64	0,703	4	NBG	Aweil East	0,38	0,24	0,312	2
Unity	Rubkona	0,73	0,65	0,693	4	WBG	Wau	0,33	0,29	0,307	2
Upper Nile	Luakpiny/Nasir	0,65	0,68	0,663	4	NBG	Aweil West	0,32	0,29	0,304	2
Unity	Panyijiar	0,66	0,64	0,653	4	NBG	Aweil South	0,25	0,35	0,304	2
Jonglei	Fangak	0,58	0,70	0,643	4	EEQ	Kapoeta East	0,28	0,31	0,294	2
Upper Nile	Malakal	0,57	0,70	0,633	4	Unity	Mayendit	0,31	0,26	0,286	2
Jonglei	Ayod	0,58	0,62	0,603	4	EEQ	Lafon	0,25	0,31	0,283	2
Upper Nile	Longochuk	0,51	0,68	0,598	4	NBG	Aweil Centre	0,34	0,22	0,282	2
Unity	Pariang	0,65	0,51	0,581	4	Warrap	Tonj East	0,21	0,33	0,271	2
Upper Nile	Panyikang	0,67	0,49	0,578	4	Lakes	Rumbek East	0,21	0,32	0,267	2
Upper Nile	Ulang	0,50	0,65	0,574	4	WBG	Jur River	0,11	0,42	0,266	2
Unity	Mayom	0,63	0,52	0,572	4	EEQ	Kapoeta North	0,24	0,27	0,254	2
Unity	Koch	0,61	0,52	0,565	4	CEQ	Terekeka	0,22	0,24	0,230	2
Jonglei	Nyirol	0,58	0,53	0,556	4	Warrap	Tonj South	0,17	0,29	0,229	2
Jonglei	Uror	0,58	0,51	0,545	4	NBG	Aweil North	0,21	0,24	0,225	2
Lakes	Yirol East	0,55	0,51	0,534	4	Jonglei	Twic East	0,15	0,28	0,217	2
Lakes	Awerial	0,52	0,51	0,515	4	EEQ	Kapoeta South	0,21	0,22	0,217	2
Unity	Guit	0,55	0,46	0,503	3	Lakes	Wulu	0,18	0,25	0,215	1
Jonglei	Akobo	0,51	0,45	0,481	3	EEQ	Magwi	0,19	0,21	0,200	1
Unity	Leer	0,49	0,41	0,449	3	Jonglei	Pochalla	0,16	0,22	0,190	1
Upper Nile	Renk	0,43	0,46	0,442	3	WBG	Raga	0,14	0,23	0,186	1
Unity	Abiemnhom	0,47	0,41	0,441	3	EEQ	Torit	0,12	0,24	0,181	1
Lakes	Rumbek Centre	0,38	0,48	0,428	3	EEQ	Budi	0,08	0,24	0,162	1
Upper Nile	Melut	0,36	0,48	0,420	3	CEQ	Yei	0,16	0,15	0,157	1
Lakes	Cueibet	0,43	0,39	0,413	3	WEQ	Mundri East	0,11	0,20	0,155	1
Jonglei	Bor South	0,37	0,45	0,412	3	WEQ	Nagero	0,07	0,17	0,121	1
Upper Nile	Maiwut	0,39	0,43	0,409	3	CEQ	Kajo-Keji	0,12	0,11	0,116	1
Upper Nile	Maban	0,30	0,49	0,395	3	CEQ	Morobo	0,12	0,11	0,116	1
Upper Nile	Manyo	0,30	0,48	0,389	3	WEQ	Yambio	0,10	0,13	0,114	1
Jonglei	Pibor	0,35	0,41	0,382	3	WEQ	Tambura	0,07	0,15	0,110	1
Lakes	Yirol West	0,34	0,42	0,382	3	WEQ	Maridi	0,10	0,10	0,103	1
Warrap	Tonj North	0,20	0,53	0,364	3	CEQ	Lainya	0,08	0,09	0,087	1
Warrap	Gogrial West	0,25	0,47	0,360	3	WEQ	Mvolo	0,07	0,09	0,080	1
CEQ	Juba	0,37	0,35	0,360	3	WEQ	Mundri West	0,05	0,10	0,077	1
Warrap	Gogrial East	0,21	0,50	0,357	3	WEQ	Ezo	0,05	0,07	0,059	1
Warrap	Abyei Region	0,35	0,35	0,354	3	WEQ	Ibba	0,05	0,07	0,059	1
Upper Nile	Fashoda	0,26	0,41	0,333	3	WEQ	Nzara	0,05	0,07	0,059	1
Warrap	Twic	0,33	0,33	0,330	2						

This level of risk was then merged with EMIS data at country level to map the states with the highest risk and to assess the potential effect of risks on a variety of schooling indicators, and the share of counties in each of the four risk categories was computed to determine the severity of the situation at the state level (see Figure 12.12).

FIGURE 12.13 **County-Level Risk Map and State-Level Risk by County Risk Distribution, South Sudan, Early 2015**



Findings:
The OCHA severity risk index provides important insight into the level of risk at county and state level in early 2015 in South Sudan. From the map, one can see that the areas touched by conflict (Upper Nile, Unity and Jonglei) presented the highest risk, each having 6 counties (or over 45%) classed as "most critical risk". Those states further away from the conflict (Western Bahr el Ghazal and Western Equatoria) were less likely to be at risk.

2.2.2 CATEGORIZING THE VULNERABILITY OF EDUCATION DISTRICTS

This approach involves using available secondary sources on risks to categorize each education district's comparative level of risk. Weights may be assigned for the number of risks faced, their intensity and recurrence, to obtain a ranking. Then, within the ranking, thresholds are established according to the overall risk level. However, the unharmonized nature of the data to be included, the weighting of different risks, and the setting of thresholds to establish levels of risk may be problematic and yield unreliable results. Different weight/threshold scenarios should be tested. The categorization exercise can potentially be somewhat subjective, depending on what data are available, so it is important to ensure that it is performed by a diverse group of stakeholders with different perspectives and local knowledge of the key areas facing risks. It is also advisable, as the value is in the comparative nature of the ranking, to limit the number of risk levels.

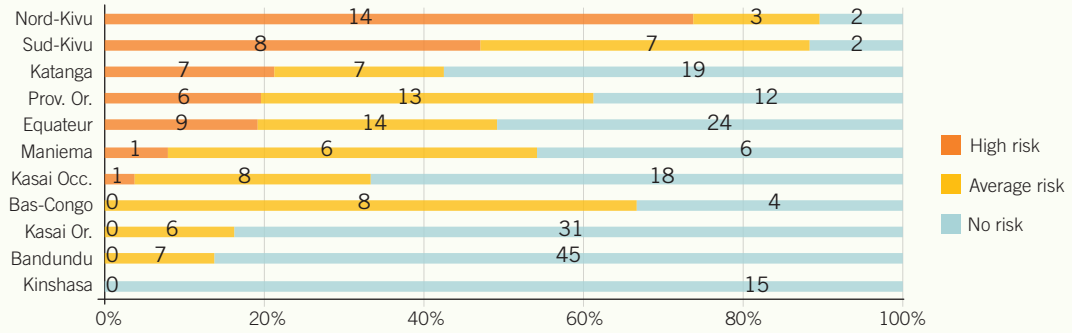
EXAMPLE 12.15

(Vulnerability Scale of Education Districts): District-Level Risk Exposure in Conflict-Affected Provinces, DRC, 2012

Source: Adapted and translated from the DRC ESA, 2014

In DRC, for the purpose of the ESA, the Ministry of Primary, Secondary and Vocational Education and the Education Cluster designed a vulnerability scale of education districts, on the basis of education cluster humanitarian data, the humanitarian action plan (HAP) annual report of 2012 and the results of the Search for Common Ground study. Three levels of vulnerability were defined: no risk, average risk and high risk.

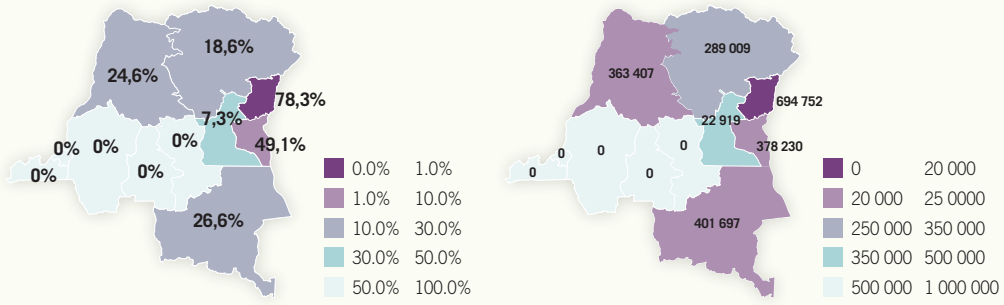
FIGURE 12.14 Distribution of Subdivisions by Level of Risk, in Conflict-Affected Provinces, DRC, 2012



Findings:

Of the 303 subdivisions listed in DRC, 195 are in areas where there is no risk (59 percent) and 125 in risk areas, 46 of which are in high-risk areas. The latter account for 15 percent of the subdivisions. Among the six provinces affected by conflict, this proportion varies from 8 percent in Maniema to 74 percent in Nord-Kivu. Areas at risk (including high risk) represent 42.4 percent in Katanga and 89 percent in Nord-Kivu.

MAP 12.3 Share of Schools and Number of Pupils in High-Risk Areas, in Conflict-Affected Provinces, DRC, 2011/12



2.2.3 GENERATING A COMPOSITE EDUCATION RISK INDEX THROUGH A DEDICATED SURVEY

If neither of the above approaches is deemed appropriate, due to the lack of a global composite risk index, an insufficiently disaggregated coverage, a marked difference in administrative and education divisions, or the general lack of data sources, it may be necessary to organize a survey to collect the required information on the nature, severity, frequency and impact of risks faced. Such surveys can be organized at the regional, provincial, district or school levels, on the basis of representative samples (Annex 12.1 provides a sample questionnaire). The analysis of the survey results would involve steps similar to those outlined in 5 to 7 above for combining a composite risk index with EMIS Data.

EXAMPLE 12.16 **(Synthetic Education Risk Indexes): Regional Education System Hazard and Conflict Indexes, Côte d'Ivoire, 2011-15**

Source: Adapted and translated from the Côte d'Ivoire ESA, 2015

The results of the national survey of education system risks and vulnerability, carried out by the Institute of Statistics and Applied Economics (ENSEA) in 2015, were harnessed to create a synthetic education risk index. The following steps were involved: (1) for each of the risks considered, a first

TABLE 12.13 **Education System Risk Indexes, by Education Region and Type of Hazard, Côte d'Ivoire, 2011-15**

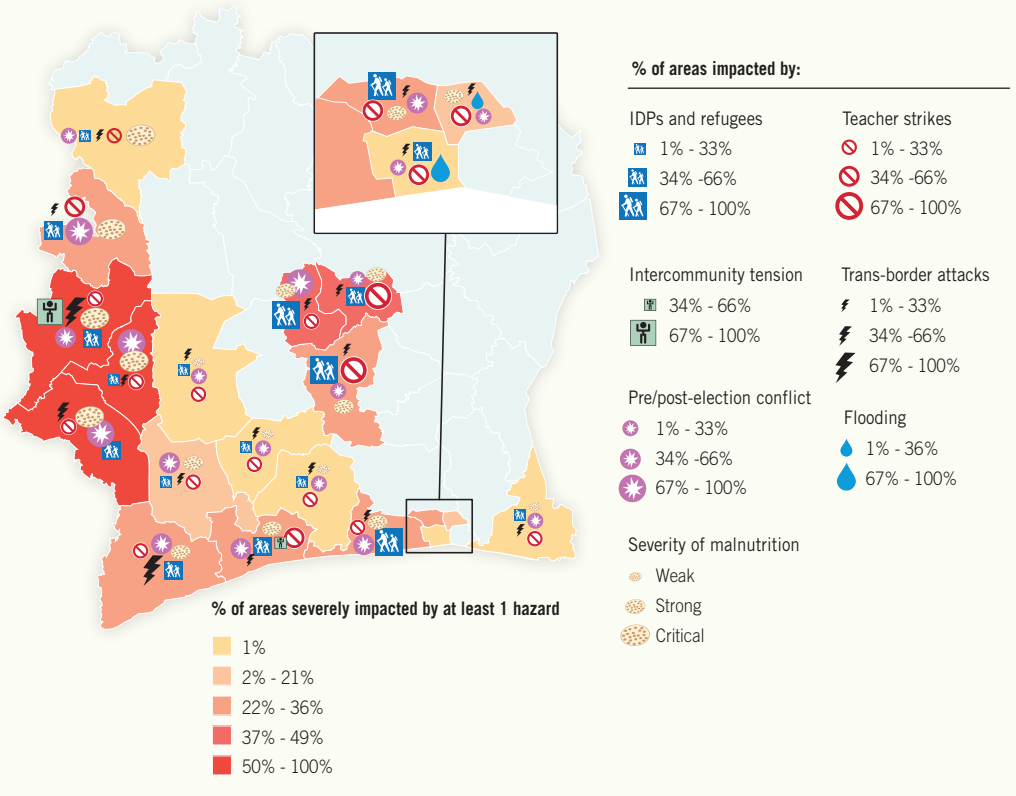
DRENET	Strikes	IDPs/ Refugees	Conflict	Flooding	Attacks	IC Tension	Epidemics	Global
Guiglo	29.4	11.2	17.4		9.8			12.4
Man	16.2	28.3	7.5		8.3	3.3		12.0
Bouake-2	21.9	15.7	16.5					9.7
San Pedro	8.9	11.8	7.9	7.5	13.1			8.4
Touba	15.0	14.7	16.2					8.3
Abidjan-4	9.3	14.4	9.4	5.3		2.1		8.1
Yamoussoukro	18.3	14.3	2.2	1.5			1.0	7.9
Daloa	10.9	20.0	6.8					7.7
Sassandra	8.2	8.3	6.7	6.0	3.8	2.0		5.7
Abidjan-1	9.7	4.2	1.3	11.8		1.3		5.2
Divo	27.5							5.0
Gagnoa	17.9							5.0
Odienné	11.3	4.3				10.8	2.2	5.0
Abidjan-3	9.4			15.2				4.3
Bouake-1	20.7	8.3						4.1
Aboisso	5.9	12.5						3.6
Dabou	5.9		4.1					3.1
Duekoué			14.9					3.0
Soubre	8.8		7.7					2.9
Total	**12.3**	**8.7**	**5.5**	**5.4**	**1.2**	**0.7**	**0.1**	**6.4**

index was computed based on both exposure (coverage and frequency) and vulnerability (extent of the impact), for each year and education district; (2) each index was then ranked on a scale of 0 (no effect) to 3 (district exposed and severely affected); (3) the ranking obtained was weighted according to the representative sample used, to obtain for each education region, average indexes for each risk and year, and a global education risk index synthesizing all risks and years; and (4) the indexes were normalized on a scale from 0 to 100, where 0 indicates that no district was exposed to any of the risks, and 100 indicates that all districts were both exposed to, and severely affected by (rank 3 above) each of the risks. They are presented in the following table. The map then shows the percentage of education districts in each region severely affected (rank 3) by each risk.

Findings:

The education system does not appear to be structurally vulnerable, as a whole or at the regional level, since 2011/12. At the regional (DRENET) level, even for the most vulnerable, the global education risk index is barely higher than 12, this being the case for Guiglo and Man. For the remaining 17 DRENET studied, the index is below 10, and in over half of them, it is even below 5. It is therefore not surprising that the global synthetic risk index for the Côte d'Ivoire education system, based on the study sample, is very low, at 6.4.

MAP 12.4 **Hazards Impacting the School Network, by Education Directorate, Côte d'Ivoire, 2011/12**



Note: The severity of malnutrition is based on the Chronic Malnutrition Prevalence Map of 2011, where 'weak' is applied to rates between 20% and 29%, 'strong' is applied to rates between 30% and 39% and 'critical' is applied to rates higher than 39%.

2.3 Linking Risk Indexes with EMIS Data

The synthetic risk index identified or created above can be used to determine the extent to which a crisis affects access to education, progression of pupils throughout the system, equity, quality inputs and learning outcomes. The approach involves comparing the risk index with education indicators, even though it is not always obvious to establish a causal relationship between them. Indeed, in this respect, it should be noted that the avenues of analysis proposed throughout this section may also be valid to appraise the influence of education on hazards and conflict (Section 3). This will shed light on questions as to whether or not there are significant disparities between schools confronted with a high level of risk and schools where risks are minimal. Such inequalities can be the source of grievances, now or later.

Assessing the effects of crisis on education may be complicated by a number of factors, not least if a rapid emergency response tends to mitigate them. Alternative or complementary approaches would be to perform a comparative analysis between affected regions and non-affected regions on the one hand, and between the period before the crisis and the period during and after the crisis (in case of an acute crisis) on the other hand.

Disaggregation of data is particularly important in emergency or conflict contexts, where average indicators are more prone to conceal significant disparities across groups, and rural girls from the poorest households generally suffer the most. Indicators can be disaggregated and compared to look for disparities by location (provinces, districts and municipalities; or urban and rural), gender, age, refugee/IDP status, and level of income.

If the data are available and if the issue is not too politically sensitive, it is usually very instructive to conduct disaggregated analysis by different population characteristics, such as tribal, ethnic or religious groups, depending on the specific context. If analyzing data by ethnicity or religion has the potential to increase conflict or tension, then it may be preferable to analyze the data using proxy indicators, such as language of instruction or geographic locations within the country (IIEP-UNESCO, 2015).

In conflict situations, at home or in neighboring countries, particular attention should be paid to obtaining and analyzing data on refugees and IDPs, and placing them in context, as disparities (real or perceived) can be the source of tensions. Usually, refugees are comparatively worse off, but this is not always the case. In Uganda, more children from the refugee community access early childhood development (ECD) (35 percent) than children from host communities (19 percent). Whereas the former have free access to NGO-provided services, the latter cannot afford the mainly private schools accessible to them (Uganda, 2018).

The indicators proposed in the following sections could be used to analyze the effects of hazards or conflict on education.

2.3.1 ACCESS AND PARTICIPATION

Broadly speaking, the analysis of access and participation indicators harnessed to appraise the impact of hazards and conflict on education, or the correlation between risk indicators and access indicators, will seek to emphasize the disparities that can be noted between regions or groups, and over time.

- *Number and type of schools.* Most countries will at least have information on the number of schools by district, cycle (primary, secondary) and ownership (government, community, private, confessional, refugee). In some countries, detailed school mapping data will also be available.

- *Enrollment numbers.* Compare enrollment trends before, during and/or after a crisis, possibly projecting the pre-crisis trend and comparing it with real numbers. Place particular emphasis on intake to the first grades of cycles, especially primary grade 1. In case of a drop in enrollment, analyze what has become of out-of-school pupils. In case of an increase greater than suggested by the earlier trend, this may be due to an influx of refugees attending existing schools in host communities, or returning IDPs.

- *Gross enrollment and gross intake ratios.* As for enrollment trends, the GER and GIR may reflect the impact of a crisis on access and participation. It is important to keep in mind that they use population data in their denominators, so caution should be applied with regards to their accuracy.

- *Preprimary enrollment.* In crisis and disaster situations resources are usually stretched, and ECD may be the first subsector to lose out. Yet ECD has many demonstrated positive spill-over effects: internal, by improving retention in primary and secondary education; external, in terms of learning achievements, employability and social competencies; and individual, relating to cognitive development (ECPC, 2017). Ultimately, ECD can do much to mitigate inequity.[51]

- *Completion rates.* The completion rate provides a broad measure of participation in school over a period, and is particularly relevant in situations of protracted disasters and crisis. Review for primary, lower secondary and upper secondary.

- *Refugee/IDP enrollment numbers and ratios.* Where refugee schools are not captured in national data systems, separate data should be collected from relevant authorities (department for refugee affairs, UNHCR, etc.).

- *OOSC numbers and rates.* These indicators complement the previous indicators and a comparison before the crisis and during and or after the crisis may help to estimate the effect of the crisis on access and participation to education.

EXAMPLE 12.17 **(Conflict-Sensitive Review of Education Access Indicators): Primary Intake and Completion Rates, Compared to Risk Exposure, by Province, DRC, 2011/12**

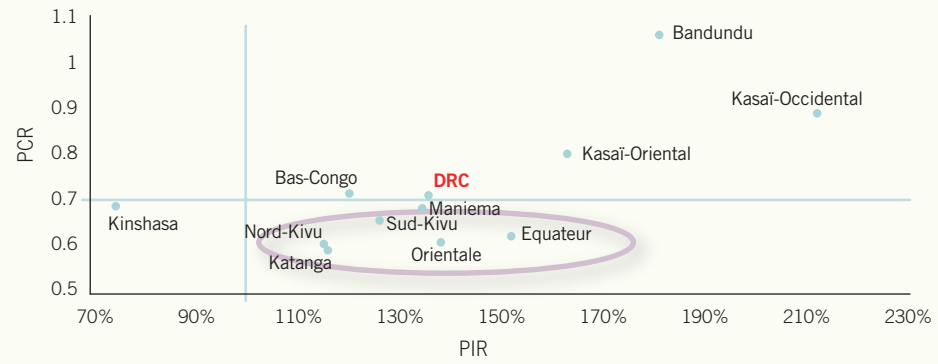
Source: Adapted and translated from the DRC ESA, 2014

The figures below illustrate the situation of provinces in DRC, with respect to access and participation in primary education. The first computes intake (horizontal axis) against completion (vertical axis), for each province. The second compares the completion rate for each province with the share of high risk areas within it.

Findings:

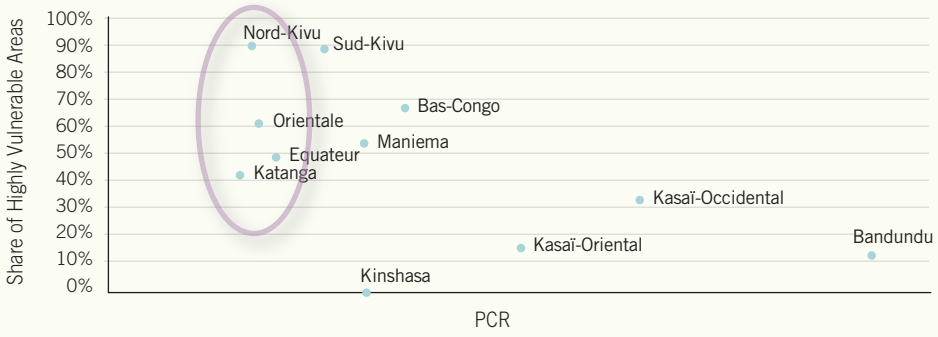
Although no interpretation can be made in relation to the potential impact of the conflict on access at the provincial level (the primary intake rates are all above 100 percent), it may be observed that the primary completion rates are lowest in the six provinces affected by conflict, where they are all below the national average of 71 percent.

FIGURE 12.15 Primary Intake and Completion Rates, by Province, DRC, 2011/12



Primary completion is all the weaker that the share of high-risk areas is great. However, no significant effect is observed in terms of girls' completion, compared to that of boys.

FIGURE 12.16 Completion Rates and Weight of High-Risk Areas within Provinces, DRC, 2012



Findings:
Findings: This situation implies a potentially important impact of conflict on schooling, that might be explained by the fact that children are exposed to interruptions in their learning, due to insecurity, that eventually lead to dropout. Indeed, it is common in the six zones affected by conflict that children are displaced with their families, temporarily or over longer periods, to flee battle, or that schools are closed or occupied for several days, weeks or months. Violence also entails heavy loss of human life, and some children are forced out of school because of the death of a parent or family member, or following the death of the teacher leading to the closure of the school. Finally, some dropouts might be the result of children being enlisted within armed groups, the number of new recruits within which was officially reported to be 578 in 2012, although the reality is undoubtedly higher than this figure, particularly in Nord-Kivu, which in earlier years represented between 74 percent and 97 percent of new child recruits each year.

2.3.2 EDUCATION PATHWAYS AND INTERNAL EFFICIENCY

- *Survival rate and internal efficiency coefficients.* Survival rates and internal efficiency coefficients provide an aggregate picture of the capacity of the education system to keep pupils until they complete a level of education. It may be of value to compute both longitudinal and pseudo-longitudinal survival rates, and compare the two (See Chapter 2 in Volume 1).

- *Dropout rate.* Dropout rates are particularly sensitive to both supply and demand-side factors, and can provide a more precise indication of the time at which a disaster or conflict is having the greatest impact. Compare the rate by grade, before, during and after the crisis as well as for affected and non-affected regions.

- *School life expectancy and average duration of schooling*. These indicators offer an aggregate result of education system effectiveness for a certain period. Trend analysis is particularly useful to detect potential changes related to the crisis.

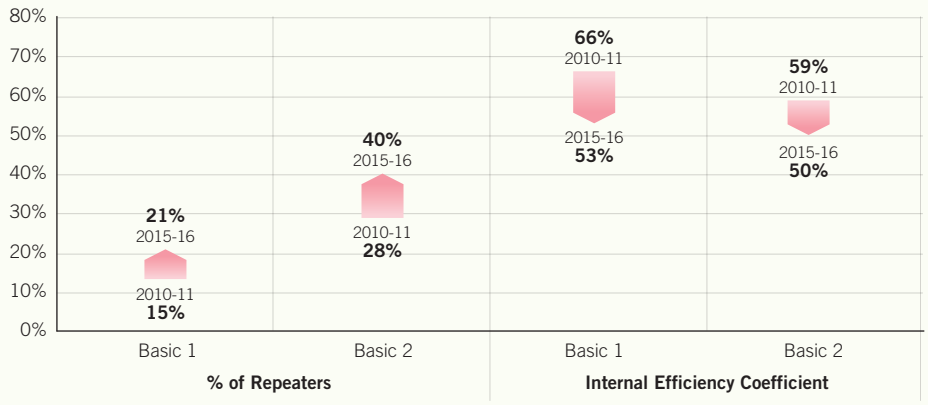
- *Transition rates.* Disparities in transition rates between cycles, by gender and by region, should be determined. The transition rate from primary to secondary may be particularly sensitive to conflict and disasters, as children reach an age of being able to contribute more to the household, and face greater distances, and threats, to reach secondary schools.

EXAMPLE 12.18 **(Conflict-Sensitive Review of Internal Efficiency): Repetition and Internal Efficiency Trends, Mali, 2010/11-2015/16**

Source: Adapted and translated from the Mali ESA, 2017

The graph below compares the percentage of repeaters and the internal efficiency coefficient in Mali between 2010/11 and 2015/16, for lower and upper basic education. As a reminder, security disturbances in Northern Mali started in 2011 and came to an open conflict in January 2012 with the intervention of French armed forces.

FIGURE 12.17 **Percentage of Repeaters and Internal Efficiency Coefficient, Mali, 2010/11-2015/16**



Findings:

The comparison shows a degradation of the internal efficiency of the Malian education system since the beginning of the conflict. The percentage of repeaters has increased and the internal efficiency coefficient has decreased for both lower and upper basic education. However, this comparison does not necessarily allow us to conclude that the conflict is the cause of these phenomena, and more investigations are necessary. An observation of the two indicators over several years before and during the conflicts could help detect a sudden change in the trend, which would further support the hypothesis that the conflict is the cause of the degradation of the internal efficiency of the system.

2.3.3 QUALITY INPUTS AND LEARNING CONDITIONS

- *Pupil/classroom ratio.* Student/classroom ratios can reflect the extent of overcrowding, due to damage, relocation of pupil populations in new schools or an influx of refugees. Overcrowded schools may indicate that access to education is denied to some children and may also be an indicator of lower-quality education.

- *Infrastructure and equipment, by pupil or population.* In addition to the number of schools or classrooms, data on the type of construction and state of repair, water and sanitation facilities, furniture, science labs, computer labs, libraries and others may be available and can be reviewed. The pupil/bench ratio or shortage of seating are basic indicators that are usually available and constitute reasonable proxies for school equipment.

EXAMPLE 12.19

(School Equipment in Risk Areas): Infrastructure and Furnishing of Government Primary Schools in Provinces Affected by Conflict, DRC, 2011/12

Source: Adapted and translated from the DRC ESA, 2014

In the context of the conflict in DRC, the MoE and the Education Cluster produced a vulnerability scale of education districts to better understand the impact on schooling (see Example 12.14). This was used as a lens through which to analyze learning conditions and highlight disparities between no-risk and high-risk areas.

Findings:

A first review shows that there is no systematic relation between an areas' risk level and the availability of facilities. However, some particularly unfavorable situations may occur, such as in Katanga, where the percentage of schools with a water point is only half as high in high-risk areas as in no-risk areas. On the other hand, in Nord-Kivu, schools in high-risk areas are in fact better endowed with water points than in no-risk areas. This may be explained by the scale of humanitarian assistance provided for the rehabilitation of school infrastructure having been used as shelters for displaced persons. For latrines, the only major difference noted is for Katanga, which suffered severe cholera epidemics, where schools in no-risk areas have four times as many as schools in high-risk areas. Although school fencing does not vary significantly between high-risk and no-risk areas, it should be noted that schools in Nord-Kivu are often not fenced, including in high-risk areas (11 percent), despite rampant insecurity.

The availability of benches is subject to significant variations. The gap between areas may be explained by looting of schools, or IDPs who took refuge in schools and used the furniture as firewood. It is noteworthy that the two provinces where the contrast between no-risk and high-risk areas is highest, Nord-Kivu and Sud-Kivu, are also those where shortages are least pronounced. These areas, recipients of humanitarian aid, appear to be comparatively privileged.

Although the high risk areas of Sud-Kivu and Katanga have fewer permanent classroom constructions than their no-risk areas, they also have a greater share of semi-permanent buildings. And although the prevalence of earth-built classrooms in high-risk areas of Sud-Kivu is high (20 percent, compared to 5 percent in no-risk areas), it is lower than in other provinces.

TABLE 12.14 Construction Type, Facilities and Equipment of Government Primary Schools, in No-Risk and High-Risk Areas, in Provinces Affected by Conflict, DRC, 2011/12

	School-age			% of Classrooms Built with (Materials)			% of Schools with Benches		
	Water	Latrines	Fence	Permanent	Semi-permanent	Earth	Straw	None	Shortage
No-Risk Areas (a)									
Equateur	52.5	89.1	71.4	14.4	29.5	50.7	5.4	25.8	83.5
Katanga	28.7	89.0	62.0	46.1	40.8	10.4	2.8	28.4	85.7
Maniema	14.1	89.3	64.1	29.3	24.9	37.3	8.4	21.7	77.0
Nord-Kivu	23.4	93.6	0	31.5	16.6	49.7	2.2	2.1	48.9
Province Orientale	47.9	94.3	54.4	32.6	7.7	53.4	6.3	21.9	76.9
Sud-Kivu	44.8	89.2	45.1	65.8	27.6	5.2	1.3	8.2	69.1
Other reasons	7%	5%	6%	8%	6%	7%	19%	9%	
High-Risk Areas (b)									
Equateur	39.1	66.0	65.1	13.5	10.8	63.0	12.6	17.6	83.1
Katanga	14.4	83.2	58.2	30.5	44.1	19.9	5.5	42.3	87.2
Maniema	16.0	91.5	64.9	22.3	16.5	51.3	9.8	18.1	79.8
Nord-Kivu	36.3	95.5	11.0	34.6	38.2	22.5	4.7	8.1	59.4
Province Orientale	42.8	92.9	16.7	30.9	15.4	45.5	8.2	13.3	76.9
Sud-Kivu	35.6	86.8	36.4	40.0	35.0	20.4	4.6	14.7	72.4
Ratio (b)/(a)									
Equateur	**0.74**	**0.74**	0.91	0.94	0.37	1.24	2.33	**0.68**	0.99
Katanga	**0.50**	0.94	0.94	0.66	1.08	1.92	2.01	**1.49**	1.02
Maniema	**1.13**	1.02	1.01	0.76	0.66	1.37	1.17	**0.83**	1.04
Nord-Kivu	**1.55**	1.02	N/A	**1.10**	2.31	0.45	2.11	**3.79**	**1.21**
Prov. Orientale	**0.89**	0.99	**0.31**	0.95	2.00	0.85	1.29	**0.61**	1.00
Sud-Kivu	**0.80**	0.97	**0.81**	0.61	1.27	3.91	3.42	**1.81**	1.05

- *Pupil/teacher ratio.* High pupil/teacher ratios can indicate understaffing and usually result in reduced quality. By area, the causes may be related to political instrumentalization of education in a conflict, difficulty in assigning teachers due to hardship created by a disaster, or the effect of a severe epidemic. However, low ratios are not necessarily an indicator of good quality. Schools in rural areas may have low ratios due to smaller population sizes or because not all children are enrolled.

- *Pupil/qualified teacher ratio or share of qualified teachers.* The allocation of qualified teachers may provide similar insight into the impact of risks. The systematic posting of the most qualified teachers in urban areas or particular regions can perpetuate educational inequality. Data may need to be sources from human resource

management if not available in EMIS. Issues of qualifications, including by cycle, teacher pay and gender should be covered.

- *Pupil/textbook ratio.* The availability of textbooks and teaching and learning materials may suffer as the result of a disaster or conflict, due to the impact on procurement processes, the supply chain, or resources being reallocated to emergency response.

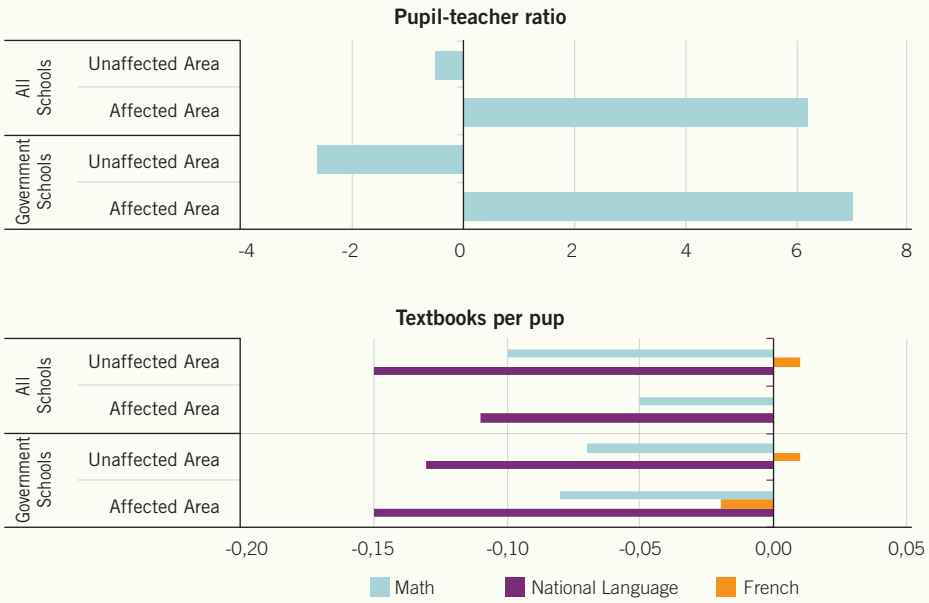
EXAMPLE 12.20

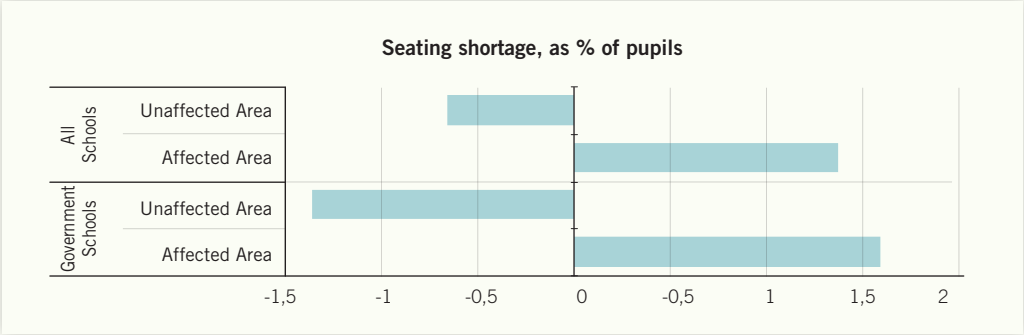
(Learning Conditions in Conflict Areas): Comparative Trends in Supervision and Learning Conditions, in Conflict Affected and Unaffected Areas, Mali, 2010-14

Source: Adapted and translated from the Mali ESA, 2017

To gain a sense of the impact of the conflict in Northern Mali on learning and supervision conditions, the evolution of several key indicators, over the 2010/11 (a year before the military crisis) to 2014/15 period is computed for areas affected and unaffected by the conflict, and compared. The affected area includes the regions of Gao, Kidal, Mopti, Timbuktu and the educational activity centers of Macina, Niono and Sarro in the Ségou region.

FIGURE 12.18 **Pupil-Teacher Ratio, Textbooks/Pupil and Seating Shortage Comparative Variations, for Lower Basic Cycle Schools, by Ownership and Conflict Incidence, Mali, 2010/11-2014/15**





Findings:
The difference between affected and non-affected areas is especially apparent in terms of supervision rates. Between 2011 and 2014, the pupil-teacher ratio deteriorated significantly in affected areas, whereas it improved slightly in areas not affected. The deterioration was greater in affected government schools (with 7 more pupils per teacher, on average). Differences in other respects are fairly moot. It may however be noted that the shortage of seating increased in affected areas, whereas it slightly dropped in unaffected areas (+1.6 percentage points and -1.3 percentage points respectively, in government schools).

- *Learning conditions.* In certain contexts, the information provided by EMIS about the availability of teachers may reflect posting decisions but bear little relation to teachers' presence in schools. This should be complemented by a comparative review of pedagogical practices such as multi-grade classes or double shifts. Further qualitative data may be required, to appraise teacher absenteeism rates and effective teaching time for instance.

- *Characteristics of headteachers and local education officers.* In certain conflict contexts, a review of the average profiles, qualifications and experience of education managers may offer insight into discrimination against certain cultural, ethnic or religious groups. In some situations, this may be a sensitive issue, however. In post-genocide Rwanda and in Burundi for instance, data on ethnic origin are no longer collected (IIEP-UNESCO, 2015).

2.3.4 LEARNING OUTCOMES

- *Examination results.* Examination results can suffer considerably as the result of conflict or disasters, due to school closures, pupil or teacher absence, poorer nutrition, and psychological factors related to violence or trauma. Table 12.15, drawn from the Chad ESA of 2014, illustrates how pupils in districts most affected by risks have lower average scores. Similar observations were made in 2012 in two of the six provinces most affected by conflict in DRC. In Katanga, many children

in high-risk areas work in the mining industry, whereas in Equateur, they help with family subsistence farming. preventing them from assiduously attending classes and hampering their success. Both limit their learning time and thus have had a negative impact on their academic success.

TABLE 12.15 Average Aggregate 5th Grade Score in Reading and Mathematics, by Region and Risk Exposure, Chad, 2011

Regions	Score (Reading & Math)	Type of Risks				
		Floods / Rains	Food Insecurity	Winds	Displaced Population	Conflicts
Batha	66			X		
N'Djamena	49	X			X	
Logone Oriental	39	X				
Moyen Chari	38	X				
Mandoul	35					
Mayo Kebbi Est	35	X				
Chad Average	35					
Guera	34					
Mayo Kebbi Ouest	33					
Hadjar Lamis	32					
Chari Baguirmi	28					
Lac	28	X		X	X	
Ouaddai	27		X		X	X
Sila	26					X
Logone Occidental	25	X		X		
Wadi Fira	25				X	
Bahr El Ghazal	24		X	X		
Tandjile	21	X				
Kanem	13		X			

- *Average pass rates.* Such data may reflect disparities in the quality of educational results as well as disparities in equality of opportunities for learners. As with scores, end of primary examination data may also reflect national policy to regulate access to more limited secondary school places, so caution is required. Consistently poor examination outcomes in certain areas may be a source of grievance for communities. (IIEP-UNESCO, 2015)

- *Education leaver employment rates.* Data on the labor market integration of pupils who have successfully completed specified levels of education, where available, will further illustrate disparities in education quality and relevance. If education does not prepare young people well enough to get jobs, there is the potential that this could lead to frustration, crime and violence. (IIEP-UNESCO, 2015)

- *Resources mobilized for national examinations.* It may be helpful to mention if and what resources have been mobilized as a result of a hazard or conflict, to compensate for negative effects, and or facilitate children's access to national examinations (see Box 12.4).

- *Refugee learning outcomes, examination results and pass rates.* In many cases, refugees might not be following the standard national curriculum of their host country. If this is the case, care should be taken in any comparison with non-refugee learning outcomes in unaffected districts, whether at the same examination or not.

BOX 12.4 Role of the Education Cluster in Supporting Displaced and Refugee Children's Access to the End-of-Primary Exam (TENAFEP), DRC, 2012

The escalation of the crisis in Nord-Kivu in April-May 2012 brought about massive internal displacements, as well as the flight of a number of people to Rwanda. For displaced children in primary grade 6, access to the end-of-cycle exam (TENAFEP) was jeopardized. The mobilization of the Nord-Kivu Education Cluster stakeholders and the commitment of the Ministry (MEPSP) enabled 4,066 displaced children to sit the exam in their host location, without having to produce documents to prove their prior enrollment, or payment. Collaboration between the Congolese and Rwandese education ministries also enabled 170 Congolese refugee children from the Nkamira transit center to sit the TENAFEP. Following the Education Cluster's advocacy in Province Orientale, and that of the MoE, with the support of Save the Children, a special session of the TENAFEP was organized in October 2012 for 2,048 displaced and vulnerable children who had not had the opportunity to sit the exam during the June exam session.

Source: Annual Activity Report, Humanitarian Action Plan 2012, OCHA. Extract from the DRC ESA, 2014

2.4 The Financial Impact of Risks on Education

If relevant data on the impact of the crisis on education are available, it may be possible to calculate the bulk cost of loss and damage to the education system. This may include direct and indirect costs, as well as opportunity costs. For instance:

- *The cost of demolition and removal and disposal of rubble or mud, following natural hazards such as earthquakes or landslides;*
- *The cost of cleaning and disinfecting classrooms, following an outbreak of contagious disease, such as Ebola;*
- *The cost of repairing schools that have been operating as temporary shelters or occupied by armed forces;*
- *Revenue losses in public and privately owned schools while closed, whenever students are charged fixed fees (particularly relevant in the public sector at ECD, secondary and tertiary levels);*

- *The cost of recruitment and deployment of contract teachers to fill positions temporarily vacated, due to an epidemic or conflict;*
- *The costs involved in the accelerated training of new teachers to replace those who are no longer willing or able to teach (or perished during the disaster).*

The comparative analysis of unit costs (expenditure per pupil) in different areas of the country may also provide insight into the impact of a risk or conflict on equity in education service delivery. It should be noted however, that if a government has consciously legislated to redress earlier imbalances in education spending, then previously disadvantaged regions may now receive more funding. The specific context of the country will determine how to analyze this type of information. (IIEP-UNESCO, 2015)

EXAMPLE 12.21

(Cost of Conflict on/through Education): Direct and Opportunity Costs to Education of Armed Conflict, Syria, 2015

Source: Adapted from Save the Children, 2015

Save the Children commissioned a study to investigate the quantitative impact of armed conflict on education in Syria, monetizing both the immediate direct costs, and the longer-term indirect costs that can only be determined by looking at changing enrollment and conflict trends. The study reviewed both macro, econometric data, and detailed country evidence that considers the local context and dynamic nature of conflict.

TABLE 12.16 Summary of Cost of Conflict on and through Education, Syria, 2015

Impact	Estimate
Direct cost to the education system of targeted attacks and collateral damage on education	US$1.27 - 3.17 billion
Reduced educational expenditure	US$63 – 700 million per year (0.6% - 3.6% of GDP)
Opportunity cost of lost and reduced expenditure (long-term impact of the above two impacts)	US$1.45 - 3.61 billion
Opportunity cost of OOSC	US$727 m - 2.18 billion (1.8% - 5.4% of GDP)
Opportunity cost of reduced educational attainment	US$1.26 billion (3.1% of GDP)

Findings:

The most visible channel through which conflict impacts on education in Syria is targeted attacks on education. These create direct costs to the system, and harm long-term progress. Between 22 and 64 percent of schools will have to be repaired or rebuilt, furniture and teaching materials restocked and lost personnel replaced. When schools are closed there may also be the cost of paying teachers who are not teaching.

As at December 2013, access to education had been denied to around 2.3 million children within Syria and to half a million more children (2.8 million) in host countries. As many as 280 million student

learning days had been lost over four years. The fact that nearly all primary school aged children were enrolled in school prior to the conflict demonstrates the intensity of the conflict and the dramatic effect it has had on the education system.

Schools, teachers and students are also victims of collateral damage, suffering as the result of indiscriminate violence, bombing and destruction, with potential psychosocial effects on cognitive and emotional development that are impossible to monetize.

Although trying to untangle the interaction between school enrollment, conflict, the economy and government spending is complex, there are numerous indirect channels through which conflict impacts on education, including forced displacement, reductions in household spending, contraction of national economies and negative impacts on public health.

These impacts represent not only costs to the system but also investment foregone since efforts to rebuild infrastructure and replace personnel will divert other investment. Since education generally exhibits positive returns on investment, this reduced investment will have an impact of greater magnitude in the long term through reduced accumulation of human capital, social benefits (such as the long-term impact on maternal and child health) and national income.

Note: for further reading, see UNICEF, 2015 which presents a cost-benefit analysis of the impact of the crisis in Syria in terms of the individual (wage differentials) and collective (economic growth) consequences of dropout.

Cost of Inaction Analysis

A typical way to estimate the economic cost of a crisis on the education system, or cost of inaction, is to assign monetary value to the reduction of lifetime earnings derived from children dropping out of school due to the crisis. Differences in lifetime earnings are calculated based on the observed differences in wages for people with different levels of academic attainment in the pre-crisis era, adjusted for inflation, and taking into account other factors that affect wages (work experience, gender) when data are available. This difference is then applied to the number of children of primary and secondary age estimated to be out of school in post/crisis era. The two major requirements for this type of estimate are: (i) an individual-level pre-crisis survey with at least wage information and education information; and (ii) post/crisis macro estimates of the increase in dropout.

While the methodology is not complicated and (at least pre-crisis) data are usually available, the findings obtained from these cost of inaction analyses can be strong and straightforward. Several studies have been conducted in war-torn Middle East countries. The total economic loss due to dropout from basic and secondary education in Syria in 2011 was estimated at US$ 10.7 billion, equivalent to 17.7 percent of 2010 GDP (UNICEF, 2015). In Iraq, the value to the economy of unrealized potential wages by school dropouts was estimated at US$ 940 million (UNICEF, 2017).

SECTION 3

The Influence of Education on Conflict and Hazards

Education can have multiple faces in crisis contexts, particularly conflict-affected and fragile contexts. It can contribute to tensions and violent conflict by exacerbating existing inequities, exclusion or polarization (Section 3.1). Citing the Rwandan genocide in 1994, Aguilar and Richmond (1998) question the education received by the protagonists and main perpetrators of the massacre: "The role of well-educated persons in the conception, planning and execution of the genocide requires explanation; any attempt at explanation must consider how it was possible that their education did not render genocide unthinkable. The active involvement of children and young people in carrying out acts of violence, sometimes against their teachers and fellow pupils, raises further questions about the kind of education they had received."

Conversely, education has the potential to promote reconstruction, reconciliation, respect for diversity, tolerance, human rights, mutual understanding and peace (see Section 3.2). Some peacebuilding and conflict-limiting impacts of education identified by Bush and Saltarelli (2000) are: education and the desegregation of the mind; linguistic tolerance; cultivation of inclusive conceptions of citizenship; the disarming of history; education for peace programs; and educational practice as an explicit response to state oppression. Therefore, in the ESA, the story of how education has become or could become enmeshed in conflict dynamics is important to understand in order to both resolve and to prevent conflicts.

Finally, education can prepare the population to face risks, and adopt appropriate behaviors when they occur, in such a way as to avoid the occurrence of a disaster or crisis. This is particularly true for natural disasters, where education can contribute to building a culture of prevention (see Section 3.3).

Sustainable Development Goal 4 specifically addresses both of the previous dimensions in its seventh target: *"By 2030, ensure that all learners acquire the knowledge and skills needed to promote sustainable development, including, among others, through education for sustainable development and sustainable lifestyles, human rights, gender equality, promotion of a culture of peace and non-violence, global citizenship and appreciation of cultural diversity and of culture's contribution to sustainable development."* Likewise, the UN Convention on the Rights of the Child's Article 29 emphasizes the importance of *"the child's personality, talents and mental and physical abilities ... respect for human rights and fundamental freedoms ... respect for the child's own cultural identity, language and values ... preparation for responsible life in a free society, in the spirit of understanding, peace, tolerance, equality of sexes, and friendship among all peoples, ethnic, national and religious groups and persons of indigenous origin ... [and] respect for the natural environment."*

This section of the chapter will provide ESA teams with an overview of the issues that might be addressed for each of the three aspects outlined in Sections 3.1. to 3.3, depending on the national context. There are no methodological approaches as such, beyond research practices that have been outlined in the introduction, but several conceptual frameworks are offered that can be adapted to guide and structure an analytical approach, as well as brief overviews of areas of particular relevance.

BOX 12.5 Facets of the Education-Conflict Nexus in Côte d'Ivoire

In Côte d'Ivoire, two conflict analyses that shed light on the education-conflict nexus in the country were conducted. Key findings include:

- Education-based inequalities across regions (in terms of access and allocation of resources) have exacerbated frustrations and generated social contestations and violent conflict.
- Education has been highly politicized in recent years: Through unions, teachers and students have brought political ideas into the classroom. In addition, across the country, students were mobilized for political violence.
- Education as a means to assert legitimacy: During the conflict, the education system has also been used as a means to catalyze power struggles, in particular between the government and rebel forces. For instance, in 2003, the government cancelled exams in the north of the country to delegitimize non-state authorities who had started running a parallel education system.
- Schools reproduce societal violence: Even when the conflict subsides, schools are often plagued by crime and violence including corruption, theft, drugs, aggressive behaviors, etc.
- Education no longer contributes to employment and social mobility: This has led to a general depreciation of the education system as well as grievances and frustrations among youth in urban areas.
- Violence in schools, including corporal punishment and gender-based violence: While data collection on these issues is challenging to capture, it is widely recognized that teachers use violent punishments against children, which also sometimes includes forced labor as well as sexual and gender-based violence, sometimes in exchange for high grades.

Source: Translated from the Côte d'Ivoire ESA, 2015

3.1 Causes of Conflict Related to Education

In their paper entitled *"The two faces of education in ethnic conflict"*, Bush and Saltarelli (2000) identify various factors through which education could have destructive effects by exacerbating ethno-political conflicts, including:

- The uneven distribution of education, a means of creating or preserving positions of economic, social and political privilege;
- The role of education as a weapon in cultural repression;
- The denial of education as a weapon of war;
- The utilization of education as a means of manipulating history for political purposes;
- The role of textbooks in impoverishing the imagination of children and thereby inhibiting them from dealing with conflict constructively;
- Segregated education as a means of ensuring inequality, inferiority and stereotypes;
- The utilization of education to diminish self-worth and encourage hate.

Box 12.6 provides a further overview of some of the common root causes of conflict, identified through Learning for Peace analysis conducted by UNICEF in a dozen countries. Several stand out as being particularly prevalent, including: unequal access to or quality of social services, including education; competition over scarce resources, exacerbated by the internal/external movements of populations; differentiated legal status and/or protection for various segments of the population; (gender-based) violence within the formal education system or within the broader community; and irrelevance of schooling to societal demands and challenges.

These lists are not exhaustive, and ESA teams should carefully review other potential direct or indirect causes relevant to their country context. The process for this section of the analysis is to take the conflict drivers identified in Chapter 1 of the ESA or Sections 1.2 and 1.3 of this chapter, and to unpack whether and how the education system may be impacting them. Hereafter, this section will review areas that are often relevant to understand how the education system may be impacting conflict drivers and fueling conflict. They include education system inequity, with particular focus on minority group identity, decentralization, and segregated and confessional schooling; and the particular importance and pivotal roles that can be played by educational curricula and the language of instruction.

BOX 12.6 **Root Causes of Conflict Determining Strategic Contexts in Learning for Peace Country Analysis**

Root causes and dynamics of conflicts	Burundi	Chad	Cote d'Ivoire	Democratique Republic of the Congo	Ethiopia	Liberia	Myanmar	Pakistan	Sierra Leone	Somalia	South Sudan	State of Palestine	Uganda	Yemen
Unequal access to and/or quality of social services, including education, between regions and/or urban-rural communities as well as along ethnic/religious lines.	o		o	o			o	o	o			o	o	o
Competition over scarce resources, exacerbated by the internal/external movements of populations.	o	o		o	o		o	o	o	o		o		o
Lack of opportunity for youth.						o		o	o			o		
Lack of equal opportunity for girls to education.		o							o					
Differentiated legal status and/or protection for various segments of the population.	o	o	o		o		o	o				o		o
A lack of recognition for ethnic , religious, lifestyle and/or linguistic diversity within the formal education system.					o		o	o		o				
(Gender-based) violence within the formal education system or within the broader community.		o			o		o		o	o	o		o	
Cultural and social norms precluding boys or girls from effective participation in schooling.		o			o			o	o		o		o	
Irrelevance of schooling to societal demands and challenges.	o				o		o		o	o			o	o
Lack of acknowledgement and/or repression of plurality and diversity within the state apparatus.	o						o							o
Limited platforms for dialogue between groups at the community level.			o			o							o	
Minority groups lacking political representation					o		o		o				o	o
Youth excluded from political processess			o						o					
Nepotism and political patronahe leading to failure of governance.									o					o
Politicization of society and the education system as a result of conflict erroded social cohesion.			o					o				o		
Long-standing grievances between groups unaddressed in society.		o		o	o		o					o	o	
Transmission of violence across generations.	o													
Prevalence/harmonization of violence in society.									o			o		o

Source: UNICEF, 2016b

3.1.1 EDUCATION SYSTEM INEQUITY AND CONFLICT

Clearly, the interaction of education with conflict is complex, and it is not always possible to establish direct causality. For instance, inequity in education might be a contributing cause, trigger or driver of conflict; a simple, parallel but unintentional, reflection of the root cause of conflict, such as a monopoly of power; an enabling environmental factor; or a direct consequence of armed confrontation. Of course, a detailed analytical understanding will be all the more helpful to planners to fine-tune equitable education policies. But ultimately, a fair description of where inequity exists is already very helpful in this sense, whether it is the cause or the consequence of conflict. The point is, either way, it is the correlation between the two that is of interest, as both causes and consequences need to be remedied.

For this reason, the indicators offered in Sections 2.3 and 2.4 of this chapter continue to be relevant and valid here, in particular where disaggregation has been successful to determine disparities in terms of education access, resources, learning conditions or learning outcomes, by area, residence, gender or group. Similarly, the results of the ESA equity chapter (see ESA Guidelines Volume 1) such as the public education expenditure appropriation index can be harnessed here, to understand whether education inequality increases the likelihood of violent conflict.

It is important that the indicators used reflect the fact that inequity-driven conflicts occur at the end of many years of inequitable policy. Options include reviewing the values of indicators over many consecutive years (such as resource allocation), or using an indicator that inherently captures the result of the education policy over a long period of time (such as the average duration of schooling).

In addition, more than indicators, this section will highlight a number of areas that may merit particular attention by ESA teams in reviewing the relationship between education inequity and conflict, and potentially included in qualitative data collection exercises where appropriate. These include decentralization, segregated and confessional schooling.

A further area that may merit attention is the relationship between private education and conflict. Although there is currently scant research on this topic, there are concerns about commercial education, based on the one hand on the feeling that providers are starting to look at conflict-affected contexts because of increasing flows of funding from international organizations such as GPE and Education Cannot Wait (ECW), and on the other on the reality that governments in conflict-affected contexts may not be in a position to regulate private school providers or learning content.

Inequity among Groups

The relationship between horizontal inequalities (i.e., inequalities between ethnic, religious and sub-national groups) in education and violent conflicts is of interest in the discussion on the role of education in the occurrence or the worsening of conflicts.

A study from FHI 360 Education Policy and Data Centre (FHI 360, 2015) has shown that there is a robust and consistent statistical relationship between higher levels of inequality in educational attainment between ethnic and religious groups and the likelihood that a country will experience violent conflict. The study finds that one standard deviation in the group Gini coefficient (an aggregated measure of inequalities) on mean years of education is associated with more than double the odds of violent conflict. Even if these findings do not necessarily point to a direct and causal relationship, that education inequality between groups is the cause of violent conflict, they indicate that education inequality may serve as a proxy of inequality in access to other services or political and economic privileges. The research also suggests that greater education equality between male and female students decreases the likelihood of violent conflict by as much as 37 percent.

Among the various potential avenues through which education inequality may directly or indirectly lead to conflict, the link between education and future economic productivity and wellbeing is certainly the most prominent. Further, education plays a crucial role in the formation of social cohesion and national identity that is also important to take into consideration. From this, educational inequality leads to imbalances in the societal fabric and reinforces the regression to group allegiances. Some authors think that education is an inherently political process, and hence inequality in education is necessarily linked to political disempowerment and disadvantage in other spheres.

BOX 12.7 Education Inequalities and Conflict Database, 1960-2013

A research project carried out by FHI 360 Education Policy and Data Center (EPDC) for UNICEF in April 2015 led to the creation of the Education Inequalities and Conflict Database and technical annex, contributing to the global study on inequalities in education and violent conflict.

The data extracted for this study include data on educational attainment for 111 countries, including 84 countries with religious group disaggregation, 73 with ethnic group disaggregation, and 109 with sub-national disaggregation. The historical timespan covered by the dataset is 1960-2013.

The database contains measures of horizontal inequality in education, across ethnic, religious and sub-national divisions. In addition, all measures are disaggregated by gender. It consists of two main datasets:

1. Educational Inequality and Conflict (EIC) dataset, which contains measures of inequality in educational attainment at the country level, disaggregated by level of education, gender, and type of group identity (i.e. inequality across ethnic, religious and sub-national groups), and data on conflict onset, type of conflict, and conflict incidence. The EIC dataset is constructed on the basis of the Group-level Educational Attainment (GEA) dataset, which is not used in the analysis but provides the source data on educational attainment at the group level that was used to calculate indicators of inequality.
2. Sub-National Education Inequality and Conflict (SEIC) dataset, which contains data on educational attainment by sub-national unit, along with inequality measures aggregated by type of inequality, gender, and level of education. This dataset also contains a group disadvantage measure, which compares its relative educational attainment with the national mean. This dataset contains sub-nationally disaggregated conflict data from the UCDP Geo-referenced Events Dataset (GED).

Source: FHI 360, 2015

De/centralized Governance

Provisions for representation and participation in consultation, as well as education system decision-making and governance may be potential sources of conflict, or opportunities for inclusion and the resolution of grievances. Decentralization of education systems is generally regarded as a means of improving accountability and ownership of schooling.

It must not be assumed that decentralization is positive, however. The issue is more complex in conflict-affected countries, particularly where government may have concerns about losing control of schooling to secessionist movements. Even where decentralization is

BOX 12.8 Provincial-Level Conflict Dynamics Fueled by Education Inequity in Pakistan

In Balochistan, an ongoing nationalist insurgency, sectarian and ethnic violence, and tribal divisions affect the education system, resulting in low literacy, school closures and attacks on teachers. Rural areas of Sindh have traditional tribal and feudal systems which often obstruct access to services, especially for girl's education. In recent years, natural disasters have compounded tensions and led to displacement and the loss of livelihoods, and affected the delivery of education. The regions known as Khyber Pakhtunkhwa (KP) and Federally Administered Tribal Areas (FATA) have been intensely affected by the conflict in Afghanistan and the 'War on Terror', facing Taliban militancy, tribal conflict and sectarian violence. This causes, perpetuates, and gains from the cycle of poverty and limited education, as the recruitment of disillusioned youth and growth of extremist ideologies increases. Poverty and inequality, discrimination of minorities, governance issues, and ethno-linguistic divides are cited as key conflict drivers in Punjab. Feudal and tribal systems, as well as parallel education systems, also perpetuate social divides.

Key education challenges were common across the Balochistan, Sindh, KP and the FATA, Punjab and Gilgit-Baltistan regions: a failure to implement the present curriculum with appropriate materials and teaching methodologies; disparate parallel education systems; and inadequate and unequal access to education, especially in conflict-prone areas.

- The introduction of a curriculum in 2002 was seen by some as promoting the beliefs of the majority while marginalizing minorities, and caused deep resentment, heightening tensions among groups and regions. The curriculum was suitably revised in 2006 and 2009 but slow implementation due to outdated textbooks and teaching methods, as well as a greatly varied curriculum used in madrassas, continues to perpetuate education with factual errors and discriminatory material and methods, contributing to intolerance and communal divides.
- Disharmony is caused by divides that exist between public and private schools, and madrassas. Inequality and socioeconomic divisions are reinforced by different educational institutions, adding to the tensions associated with poverty and resources.
- Inadequate access to education across all economic and social strata fuels discontent and perpetuates a cycle of illiteracy and disillusionment. Constraints to access vary greatly between communities, but include: poverty and opportunity cost; limited infrastructure and human resources including teacher absenteeism; concerns over the quality of education; cultural attitudes; and insecurity. Attacks on education infrastructure, educators and students occur particularly in KP and the FATA, and Balochistan.

Source: Adapted from the PBEA Conflict Analysis Pakistan Report – 2016

introduced as part of post-conflict peace agreements, such as in Bosnia and Herzegovina, fragmentation may strengthen control of the education system by local political interests and reinforce ethnic divisions (Smith, 2014).

In a report dealing with the relationship between education and conflict in Côte d'Ivoire, Sany (2010) points out that education has been utilized to exacerbate the Ivoirian conflict. While he states that there was no evidence that education has fueled the conflict directly through the curriculum, he explains how conflict actors have taken advantage of the organization of the education system to exacerbate the conflict, especially through a politicization of students' associations (see Box 12.5).

Central-level politicization may be mitigated by protective mechanisms such as the separation of key functions, including policy-setting, policy advice, support to schools and service delivery. A ministry might retain overall responsibility for setting policy at the central level, but create specialized agencies with responsibilities for planning, teacher education, curriculum and examinations, with governance arrangements that make them less susceptible to political interference (Smith, 2014).

Segregated Schooling

While many mass education systems overtly aim to improve social assimilation, the existence of parallel education streams that certain segments, usually minorities, of the population are obliged to use is a fundamental cause of conflict. Examples include apartheid education in South Africa or Israel.

One possible reason for the existence of separate schooling in conflict-affected countries is that the institutional structures reflect and replicate the political, social and cultural divisions within broader society. At any rate, its past or present prevalence based on identity factors in countries such as Bosnia and Herzegovina, Guatemala, Lebanon, Mozambique, Northern

BOX 12.9 Education Deficits Facilitate Youth Engagement with Violence in Yemen

Deficits in the Yemeni education system are acknowledged to exacerbate unemployment levels, especially among youth. Low standards of education mean that many Yemenis are excluded from highly skilled jobs such as those in the oil and gas sector, which relies primarily on foreign workers for skilled and technical positions. In addition, poor-quality education is seen as a contributing factor to the ease with which armed groups are able to recruit members. With rote learning as the standard, most students have no focus on critical or independent thinking, making them vulnerable to groups that espouse ideologies based on largely unfounded claims. Many families choose to send their children to religious schools, hoping they will offer better-quality education than the public system. Many religious schools, however, are affiliated with armed groups or people who use violence periodically in defense of a sectarian agenda. This makes students susceptible to receiving a one-dimensional study of events and ideologies and more likely to become engaged in violence.

Source: Extract from the PBEA Conflict Analysis Yemen Report (UNICEF Learning for Peace, 2014b)

Ireland, Rwanda and Sri Lanka, suggests that the linkage is not just a coincidence (Smith, 2014).

Segregated schooling may not be immediately apparent, particularly in situations where children from different national backgrounds attend the same school but during different shifts, possibly being taught different curricula.

Confessional Schooling

Faith-based education would usually be qualified as separate, rather than segregate, schooling. It may reflect a family's choice, or an only opportunity where alternative types of school do not exist. Nevertheless, there are growing concerns about the potential role of faith-based education to erode social cohesion, and in particular, about the potential for indoctrination and radicalization. Again, there is no conclusive evidence of the direct causality with conflict, and every context is different.

From a conflict perspective, it is important to address two key issues about the role of faith-based schools within an education system: (i) their relationship with the government, and whether this is likely to be used as a justification for conflict, national policy with respect to secular education, and the level of funding they are entitled to and receive; (ii) the relationship between religion and teaching, including the nature of the curriculum and particular criteria that may apply for teacher recruitment.

Arrangements for faith-based schools are likely to reflect power relations that exist within any given society, so for example, it may be that the dominant faith in a country will receive funding for its schools, but minority faiths are not permitted to establish their own schools, or do not receive state funding. Confessional schools may institutionalize social separations in conflict affected-countries, but can also contribute to promoting tolerance (Smith, 2014).

3.1.2 CURRICULA

Reviewing curricula in the conflict assessment of an ESA conflict analysis is of major importance given that curricula, by conveying knowledge on risks and safety behaviors to be applied during emergencies, and by shaping behaviors and attitudes, building resilience, can contribute to both the prevention of conflict, and preparedness. By inherent bias, in the relevance of their content or their representation of different groups of society, curricula can also contribute to aggravate conflicts. Although not exhaustive, the following areas will be worthy of review:

- *Conflict prevention.* To reduce the risk of conflict, formal school curricula can include prevention themes such as civic education, life skills, human rights education and critical thinking, at different levels (primary and secondary). They can also, sometimes involuntarily, hold inherent bias towards or against certain groups, including genders, that could trigger tensions. On the contrary, school curricula may

very clearly recognize diversity, and aim to promote tolerance and respect for all learners. It may be worthwhile appraising if the pedagogical approach they reflect effectively responds to the needs of all learners, including returnees, veterans and former child soldiers, with an appropriate balance of learning modes and activities.

- *Preparedness.* Curricula themselves, or the teaching program, may include specific modules on the risks of conflict, and specific knowledge and practices to be used in the case of an emergency, threat or attack, as well as involve regular emergency drills.
- *Curriculum development.* The process of curriculum development represents an opportunity to promote social cohesion and plays a key role in the development of civic culture in conflict-affected contexts. It can shape understanding among future generations of what good citizenship means (see Example 12.21).

EXAMPLE 12.22 **(Conflict-Sensitive Curriculum Framework): The 2015 South Sudanese Curriculum, Developed with a Social Cohesion Goal**

Source: Adapted from the South Sudan ESA, 2017

In South Sudan, a new curriculum framework was finalized in 2015 with full implementation planned for the end of 2018. All states were involved in its development to help ensure that the outcome was truly representative and relevant. The new South Sudanese curriculum covers ECDE, primary and secondary levels, and sets key goals for achieving quality education at all levels in South Sudan. The four key aims of the South Sudanese education curriculum are to:

- Create good South Sudanese citizens,
- Create successful lifelong learners,
- Produce creative and productive individuals,
- Promote environmentally responsible members of society.

The curriculum framework underlines the importance of an engaging learning environment where students are actively involved in their own learning. It also emphasizes that learning should be relevant to the lives of learners and reflect local contexts and cultures. In addition, the curriculum emphasizes inclusive learning and gender equity. This requires highly competent teachers who have acquired both relevant pedagogic skills and adequate subject knowledge.

Goals related to life skills, safety and social cohesion are highlighted in the key aims and are integrated throughout the various sections. The Values and Principles Statement states that education should be based on a shared commitment to human rights and gender equity, respect and integrity, peace and tolerance, compassion and social justice, democracy and national pride.

Findings:

Although at the time of drafting it was still early to fully appraise the impact of the new curriculum, a series of practical booklets on peacebuilding being used in schools and with out-of-school youth were found to have made a real contribution to changing lives and are helping to address deep-seated drivers of conflict. They specifically teach learners about co-existence, self-esteem, the effects of conflict, conflict resolution, dialogue and behavior change.

Integration and cohesion are still being affected, however, by the continued use of curricula from neighboring countries, although this issue is expected to wane as these curricula are phased out. MoE has taken a flexible approach to the use of curricula in refugee camps, where schools decide on the curriculum to be taught. The position of UNHCR is shifting towards schools in refugee camps using the curriculum of the host country to facilitate setup and integration.

Defining the Hidden Curriculum

Schools teach subjects like math, reading and writing. But many researchers believe that schools also have a hidden curriculum. A hidden curriculum can be defined as the lessons that are taught informally, and usually unintentionally, in a school system. These include behaviors, perspectives and attitudes that students pick up while they're at school. This is contrasted with the formal curriculum, such as the courses and activities students participate in.

The hidden curriculum begins early in a child's education. Students learn to form opinions and ideas about their environment and their classmates. For example, children learn 'appropriate' ways to act at school, meaning what's going to make them popular with teachers and students. They also learn what is expected of them; for example, many students pick up on the fact that year-end test scores are what really matter. These attitudes and ideas aren't taught in any formal way, but kids absorb and internalize them through natural observation and participation in classroom and social activities.

Aspects of the hidden curriculum that mold students' perspectives deal with issues such as gender, morals, social class, stereotypes, cultural expectations, politics and language.

BOX 12.10 Curricular Review and Language of Instruction Policy for Peacebuilding in Myanmar

Education in Rakhine State plays an important role in conflict dynamics. Discriminatory education policies against ethnic minorities have been a feature of the education system since independence. Burmese-language policies in schools marginalize non-Burmese-speaking ethnic groups. Curricula reinforce Burmese identities and marginalize ethnic group identities and histories. Ethnic tensions extend within the school environment. The quality of education is low in comparison with the rest of the country. Weak education governance systems reduce the capacity to resolve conflicts.

As part of the current reform effort, the government is managing a curricula review to remove institutionalized discrimination against ethnic minorities, languages and cultures. Curricula will need to be translated into the various languages of ethnic minorities in Myanmar to ensure equitable access. Histories and content that honor and acknowledge the culture of minorities will also need to be written and incorporated into curricula, with intensive consultation and dialogue with actors from each group.

Source: Extract from the PBEA Conflict Analysis Myanmar Report (UNICEF Learning for Peace, 2014)

Gender roles, for example, become very apparent in the early grades when socializing becomes divided into boys and girls. Many books at this young age support the idea of gender separation, which, in turn, encourages these norms in early years. Similar divisions between ethnic groups or regions may be created or strengthened through the hidden curriculum.

If a language class only assigns reading material with a specific ethnic group's main characters or with stories set exclusively within a sub-national area, this may teach students, including learners from other sub-national areas, that the school system doesn't appreciate other cultures and languages. This can promote a negative self-image or a hatred for reading.

3.1.3 LANGUAGE OF INSTRUCTION

The language of instruction is often a very sensitive issue, especially in contexts where ethnic tensions prevail and where it is perceived as of a form of acculturation and dominance by the elite and other ruling ethnic groups. Indeed, beyond being a simple medium of instruction, language conveys social norms and cultural traditions that shape behaviors and beliefs. The issue might be exacerbated for returnees, refugees, and internally displaced children facing even more contextual challenges.

To appraise whether the language of instruction may be contributing to fueling conflict, the following areas merit review:

- *Inclusiveness.* The extent to which the teaching language is inclusive will not so much be determined by the share of the population for which it is the mother tongue, as by the share of the population who use it as a lingua franca, and can thus learn through it, together. The provisions for those who do not understand it are equally important, including minority ethnic groups, refugees and IDPs.
- *Language policy.* Policy orientations may exist that reflect conflict analysis and the needs of different learners, such as providing mother tongue teaching in the early years of education, or multilingual education for displaced communities or in multi-linguistic areas.

EXAMPLE 12.23

(Minority-Sensitive Language Policy): Perspectives of Social Cohesion through Inclusive Education Language Policies in Thailand and Malaysia

Source: Adapted from UNICEF EAPRO, 2016

The Language, Education and Social Cohesion (LESC) Initiative was conducted by UNICEF's East Asia and Pacific Region Office in Malaysia, Myanmar and Thailand. The main facets of the initiative involve elements of action research, facilitated dialogues, language policy development support, consultations and situation analysis, motivated by the need to find a response to the risks that children face in educational and noneducational settings associated with language and ethnicity issues, and to build trust between authorities and minority groups.

Findings:
In Thailand the research focused on the educational prospects of minority language groups, to improve access to the curriculum and its representativeness, and enhance learning outcomes. This focus took place within a wider context of policy developments to make the lives of children safer, the delivery of education more effective and social relations more secure. Three studies detail recommendations and action proposals for language planning and policy undertakings focused on the southern provinces of the country. Further work and funding is needed for implementation of the action proposals for the three initiatives aimed at addressing broader societal as well as educational factors in alleviating language-related tensions: (i) an exploration of how to grant administrative status for the Patani Malay language; (ii) scaling up methods for bilingual education; and (iii) an exploration of curriculum reform at the upper primary and junior secondary levels.

In Malaysia, the initiative found a need to move towards an ambitious program of social inclusion, fostering a sense of participatory citizenship, educational equality and cultural democracy, reflected in its language policy. Recommended actions include the funding and administration of a conference on indigenous languages and multilingualism for Sabah and Sarawak, leading to the longer-term development of an indigenous language policy, including a comprehensive staged and public language planning initiative.

3.2 Peacebuilding and Social Cohesion through Education

This section will present two analytical frameworks for the analysis of peacebuilding and social cohesion in or through education, that reflect the fact that conflict can be fueled as much by popular perceptions of inequities and the grievances such perceptions create, as the reality (or not) of the disparities and governments' efforts to address them. Both offer broad and multi-factored approaches to the analysis of peacebuilding, and there is inevitable overlap both between them and other areas of analysis. The second specifically addresses the potential role of education in truth and reconciliation processes, a key element of post-conflict peacebuilding efforts.

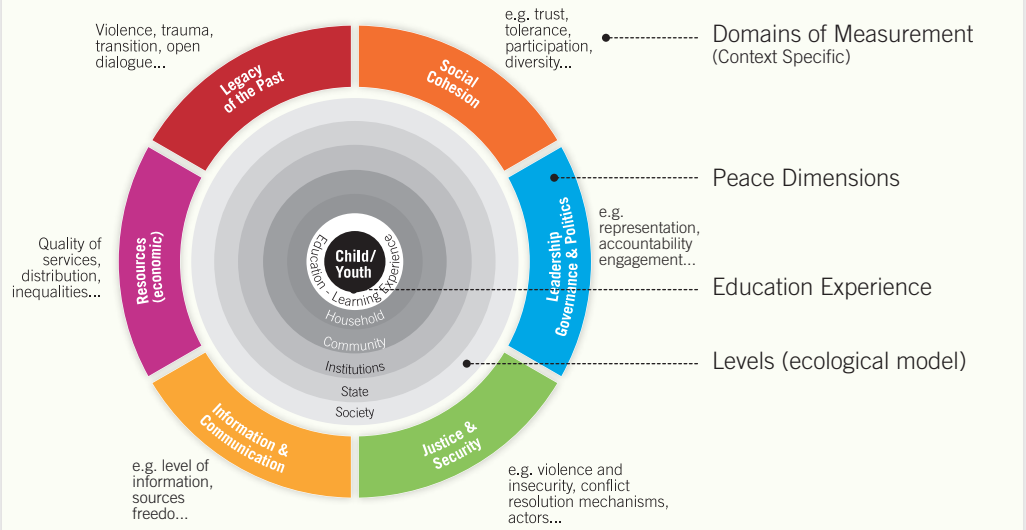
3.2.1 PERCEPTIONS OF EDUCATION VIS-À-VIS CONFLICT AND PEACE DYNAMICS

An appraisal of perceptions is by nature qualitative and will rely on participatory research techniques outlined in the introduction of this chapter, such as key informant interviews and focus-group discussions. Afrobarometer, a pan-African series of national public attitude surveys on democracy, governance and society, may have conducted relevant research.[52] For such consultations, a good starting point is to ask about people's expectations of education, whether the education system is serving all sections of the population, and what concerns people have about education provision.

The Education Peacebuilding and Social Cohesion Indicators Framework developed by the Harvard Humanitarian Initiative (Pham and Vinck, 2017) is a useful tool to guide such research. The framework covers six dimensions: (i) social cohesion; (ii) leadership, good governance and inclusive politics; (iii) access to resources and opportunities; (iv) the legacies of past conflict; (v) information and communication networks; and (vi) justice and security.

The framework suggests that children and youth are at the very center of each of these areas, and that their immediate learning experience and environment, as well as their household context, will act as filters to how they perceive these different factors, and conversely, that communities, institutions, government and society will ultimately be shaped by their perceptions. So, the expression of the various dimensions of peace in a given context is both influenced by and influences educational and learning experiences.

FIGURE 12.19 Education Peacebuilding and Social Cohesion Framework



Source: Social Cohesion Indicators Framework (Pham and Vinck, 2017)

These dimensions are commonly accepted pillars of peacebuilding, but for analytical purposes it is helpful to translate the somewhat abstract concepts they represent into more actionable areas of measurement, and qualitative indicators (see Figure 12.19). While the six global dimensions apply fairly systematically to peacebuilding, regardless of the country, the domains of measurement should be shortlisted according to the country context.

FIGURE 12.20 **Education Peacebuilding and Social Cohesion Dimensions, Areas and Indicators**

Social cohesion
Trust
- *Trust in family*
- *Trust in the community*
- *Trust in groups - bonding*
- *Trust in groups - bridging*
- *Trust in state/institutions*

Engagement
- *Participation*
- *Importance*
- *Quality*
- *Frequency*

Social relations
- *Acceptability/comfort*
- *Social distance*

Support and solidarity
- *Support*
- *Solidarity*

Identity, belonging and inclusion
- *Identity*
- *Sense of belonging*
- *Sense of inclusiveness*
- *Tolerance*
- *Stereotypes*
- *Discrimination*

Leadership, governance and inclusive politics
Civic engagement
- *Participation*
- *Perceived rights*
- *Freedom*

Representation
- *Perception*
- *Inclusiveness*
- *Prevalent exclusions*
- *Divisive role of politics*

Performance of the state
- *Government performances*

Access to resources and services
Access to services
- *Satisfaction*

Socioeconomic outlook
- *Optimism*

Legacies of past conflicts
Accountability
- *Need*
- *Value*

Settlement and transition
- *Fairness*
- *Inclusiveness*

Knowledge and participation
- *Knowledge*
- *Participation*

Dialogue
- *Openness*

Trauma and recovery
- *Prevalence exposure*
- *Mental health*

Education, learning experience
Access
- *Perception*
- *Participation*
- *Registration*
- *Attendance*
- *Achievements*

Perception (value, effectiveness)
- *Generalized value*
- *Life skills preparation*

Violence and discrimination
- *Prevalence*
- *Perception*

Parenting style and role models
- *Parenting style*
- *Role models*

Justice and security
Security conditions
- *Perceptions of security*
- *Causes of insecurity*
- *Trends*
- *Confidence in future*
- *Perception of efforts*
- *Improvement areas*

Security actors
- *Access*
- *Perception*

Disputes, Violence and Crimes
- *Exposure*
- *Role of security actors*
- *Domestic violence*
- *Disputes*
- *Acceptability of violence*
- *Violent behavior*

Conflict resolution
- *Sense of justice*
- *Access*
- *Perception of actors*
- *Means to obtain justice*
- *Conflict management*

Information and communication
Access
- *Sources*
- *Consumption patterns*
- *Level of information*
- *Factual knowledge*

Perception
- *Independence*
- *Fairness*
- *Trust*

Resilience
Ability to adapt and cope with whatever comes
- *Self-esteem*
- *Sense of coherence*

Source: Social Cohesion Indicators Framework (Pham and Vinck, 2017)

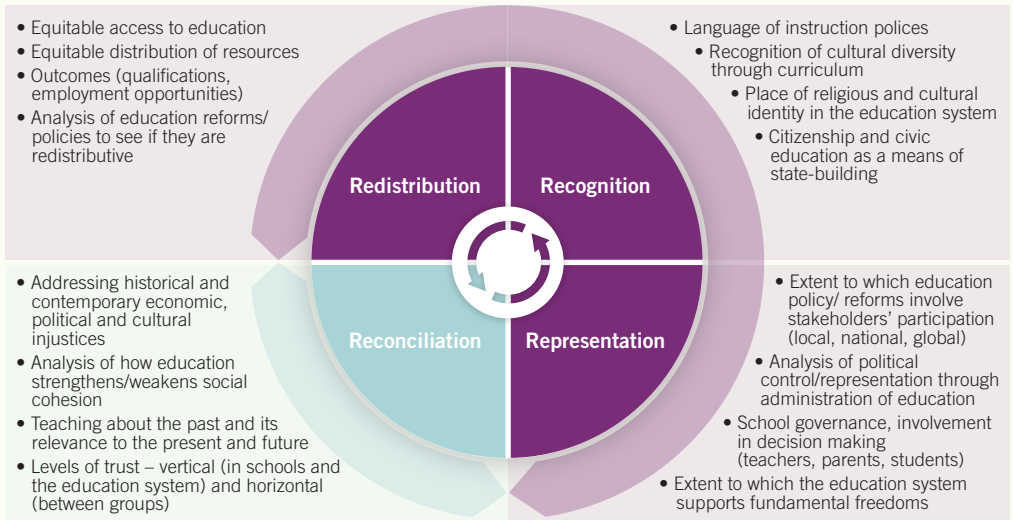
3.2.2 EDUCATION'S CONTRIBUTIONS TO SUSTAINABLE PEACEBUILDING AND SOCIAL JUSTICE

The 4Rs Framework developed by Novelli, Lopez Cardoso and Smith (2017) offers a theoretical and analytical framework for researching the peacebuilding role of education, recognizing that social justice and reconciliation are key elements of positive and lasting peace. The framework combines the four dimensions of recognition, redistribution, representation and reconciliation.

Again, it may be useful to adopt a consultative process to interrogate how the education system in conflict-affected settings is currently addressing or fairing with regards to each of the dimensions, in order to determine to what extent it is addressing root causes of conflict and contributing to peacebuilding, or on the contrary fueling conflict.

- *Redistribution* is defined as the process of addressing inequalities in terms of education access, non-discrimination, allocation of resources, and education outcomes. In addition to the relation between disparities in education access and violent conflict (see Section 2.3.1) and of education resource distribution in the light of conflict patterns (see Section 2.4), the analysis of this dimension should specifically consider how non-discrimination is taken into consideration in the education system.
- *Recognition* is the respect of diversity in the structures, processes and content of education in terms of culture, language, gender, politics, religion, ethnicity, etc. This analysis will draw on aspects raised in relation to the curriculum (see Section 3.1.2), in both content and pedagogical delivery modes, the language of instruction (Section 3.1.3), as well as the diversity of school types in response to different groups' needs (Section 3.1.1).
- *Representation* is about ensuring and encouraging equal participation of different groups in education policy setting and management decision-making. Beyond the issues addressed in relation to the centralization or decentralization of education system management (see Section 3.1.1), further key aspects relating to decentralization are dealt with in Section 4.
- *Reconciliation* refers to the transition to justice, dealing with the past and the process of generating social cohesion. Specifically, the analysis of this dimension may focus on systems and mechanisms created to address past and present social injustice to build new relationships of trust. This area is addressed in greater detail below.

FIGURE 12.21 The 4Rs Framework to Assess Education's Contribution to Sustainable Peace



Source: Novelli, Lopes Cardozo and Smith, 2017

In using this framework for analysis, the main concern is to provide good coverage of the various aspects of education that policymakers will need to consider, beyond issues related to access and quality based on learning metrics, ranging across: (i) governance and control of the education system at all levels, with particular emphasis on the extent to which education has itself become politicized and a potential driver of conflict – for example, issues of accountability and transparency are key to avoiding charges of patronage (in appointments) or bias in the allocation of resources; (ii) reforms and policies – for example, whilst decentralization is supposed to bring about greater local involvement in decision-making, in conflict-affected situations it can also carry the risk of local dominant groups taking control of the education system in ways that are not in the overall public good; and (iii) education content and processes, which may have many implications to fuel grievances depending on the policies adopted, such as for the language of instruction, and recognition of diversity within the curriculum.

Non-Discrimination

A transversal area of particular interest and relevance for the analysis is the extent to which, and the mechanisms through which, non-discrimination is taken into consideration in the education system. Non-discrimination may materialize in different ways and at different levels, through policy, programs and management; access and equity; learning content and pedagogical approaches.

For instance, it may be a foundation of a country's constitution that girls have equal opportunity for schooling, a guiding principle in curriculum development that the dominant

ethnic group is not given excessive bias, or an element of teaching policy that education authorities are free to determine the language of instruction with local schools, all of which are measures that specifically aim to avoid discrimination.

In many countries, there will be specific instances where further steps have been taken, for positive discrimination, effectively aiming to impose some degree of proportional representation of minority groups, or develop enabling conditions to ensure that disadvantaged or under-represented sections of the population can exercise their rights. So, for instance, the ESP may have a strategic axis for inclusive education, or the teacher recruitment policy may stipulate gender ratios.

Truth and Reconciliation Processes

In countries with a strong interest in dealing with past, present and future injustices (as in post-conflict or post-disaster situations), the analysis of how education is involved in the reconciliation process is worthy of consideration. In such contexts, the analysis should include whether the curriculum is giving enough space for transitional justice to allow the reconstruction of the education system or of the society as a whole. Is it promoting/developing social cohesion, and new relationships of trust among citizens?

As indicated by Ramírez-Barat and Duthie (2016), this is the place to look at how the education system is expanding its outreach agenda to engage younger generations and help transform a culture of impunity in society into one of human rights and democracy. It is also

BOX 12.11 The Role of Education in Truth and Reconciliation Processes in Latin America

Argentina. A recommendation to require teaching of human rights in state educational establishments, whether civilian, military or police.

Chile. A recommendation for human rights education for the military and civilians, especially lawyers and judges. In 1992 legislation was passed to create the National Corporation for Reparation and Reconciliation, which established a monthly pension and medical benefits, including psychosocial counselling, for the families of those named in the report and a subsidy for the victims' children to attend high school and college.

Guatemala. A recommendation to include the history of the conflict, including its causes, course and impact, and the peace agreements in primary, secondary and tertiary educational curricula. The Truth and Reconciliation Commission also called for the state to co-finance an education campaign, to be carried out by national human rights organizations, on a culture of mutual respect and peace, aimed at the political and social sectors

Peru. The Truth and Reconciliation Commission (CVR) recommended broad education reform promoting democratic values, to: (i) emphasize educational policies aiming to transform schools into places that respect the humanity of pupils and contribute to the integral development of student's personalities; (ii) promote respect for ethnic and cultural differences and adapt schools to respect the country's ethnic-linguistic, cultural and geographic diversity; and (iii) strengthen participation and democracy mechanisms at school and prohibit and sanction physical punishment or humiliating practices as a form of discipline.

Source: UNICEF Innocenti Research Centre Working Papers (Smith, 2010)[53]

the opportunity to appraise how transitional justice can shape the reform of the education system and facilitate the reintegration of children and youth into the system as a means of contributing to building peace within society.

The analysis may review the working documents of the truth and reconciliation commissions where they have been created, including their key findings, parliamentary recommendations and any legislation passed or the mandates of institutions or bodies created as a result. Interviews with key informants, where still possible, will provide further insight.

Based on the aspects considered to be important to identify education policies as part of transitional and reconciliation processes, the analysis may in particular review the extent to which truth and reconciliation processes, where they have been conducted, have given consideration to the following dimensions in relation to education (see Smith, 2010 for further detail):

- *Clear identification of why education is important for post-conflict reconciliation*, such as raising awareness of the past; promoting understanding; or economic regeneration.
- *Context-sensitivity*, such as cultural practices or attitudes that may create tension between local customs and international human rights standards.
- *Legitimacy for the task*, including assurances that involved schools, teachers and other educators' roles are strengthened by political commitment and institutional support.
- *Awareness of the resistance and sensitivities of perpetrators and victims*, who will have diverse views and interests about if and how the truth should emerge.
- *The broader social* debate that educational initiatives are likely to take place within and may have to adapt to as different views and approaches emerge.
- *The realism of the time frame*, reflecting the fact that reconciliation is a process that education may contribute to in terms of early opportunities, medium-term goals and long-term aspirations.
- *Identification of areas for educational input*, including knowledge-based (dedicated texts, resources and time), skills-based (focus on process), and/or concepts and values-based (human rights and peace education), as well as harnessing learner experiences.
- *Educational entry points*, including political, policy, administrative, curriculum, pedagogy, resources, teacher education, and parent and community involvement, as well as potentially epistemology, concepts, gender analysis, or ethics and child protection.

3.3 The Role of Education in Natural Disaster Prevention and Preparedness

Education has a significant role to play in both the prevention of natural disasters, and preparedness of children, families and communities to face hazards when they occur. For instance, building environmental awareness in the classroom can encourage better practices in terms of the use of woodlands, limiting deforestation to non-critical areas, and reducing the risk of landslides. Education can also constitute a valuable vector through which to share and disseminate response protocols. For example, teaching pupils how to identify safe shelter areas in the case of earthquakes can have a significant impact on limiting loss of life when one occurs.

There is ample evidence that educational programming can have an impact on knowledge, behaviors, attitudes and skills related to environmental management and sustainable development, as well as establishing links between education and resilience, within industrialized nations and in the Global South. This is further supported by emerging evidence from the field of economics, which has illustrated that education can help people, and particularly women, to not only build and protect social capital in general, but also to understand, cope with and respond to environmental and climate change (see Blum, 2015).

The inter-agency Capacity for Disaster Reduction Initiative (CADRI) has developed a comprehensive capacity assessment and planning tool for disaster risk management, that includes a specific education module. A number of questions guide assessments according to the five elements of capacity development outlined in the Sendai Framework: ownership, institutional arrangements and coordination; relations and partnerships; competencies; working tools and resources; and relationships and coordination (CADRI, 2018).

The following areas provide avenues for a more summary analysis:

- *School-level environmental practices.* Programs increasingly include hands-on activities such as recycling and waste reduction, water management, conservation of the immediate environment and tending school vegetable gardens. In particular, there is growing evidence of the value of 'whole-school' approaches to education and sustainability, designed to integrate classroom learning with daily life/practice (cited in Blum, 2015).
- *School-level emergency drills.* Through the regular practice of emergency drills, such as fire evacuations and taking shelter when an earthquake or a flood occurs, schools can instill safely behaviors in children that will be of value to families and communities in mitigating the impact of a hazard when it occurs.
- *Curriculum content.* Curricula may include environmental protection and sustainability topics (use of water, agricultural practices, impact of pollution), disaster risk reduction (behavioral safety, assessment and planning) knowledge, or health

and hygiene components (covering epidemics, communicable diseases, nutrition), to promote personal resilience and life skills. Programs are also commonly organized by educators within conservation areas and as part of wider adult and community education efforts.

- *Structural resilience.* The education system may contribute to the resilience of both schooling and communities through structural measures, including the safe location of school buildings, the nature of their design and construction, and maintenance and repair of facilities and infrastructure. These areas are explored in greater detail in Section 4.2.1.
- *Teacher training.* When a hazard occurs, teachers will often be immediately involved in ensuring the safety and protection of children. Teacher training may prepare them for this role by including modules on psycho-social support or positive classroom management practices, contributing to children's feeling of safety and security. To provide remote learning when schools are closed teachers' capacity training should consider skills to manage a remote 'virtual' classroom, improvement of presentation techniques, and training to tailor follow-up sessions with caregivers.
- *Non-formal/community education.* Poverty is often a key driver for environmentally damaging behaviors, including the unsustainable use of natural resources and deforestation. Considering that children from the poorest families are disproportionately at risk of being out of school, and that adults are better short-term implementers of environmentally-friendly practice, the analysis should consider non-formal opportunities for learning.

SECTION 4 Education System Risk Management, Mitigation and Governance

The education system's resilience in the face of hazards and conflict, as outlined in the introduction to this chapter, depends on more than the intensity and scale of the risks the system is exposed to. Risk-sensitive ESAs should devote a final section to education's coping capacity, which at the level of the system, reflects its strengths and weaknesses in terms of risk management, mitigation and governance. To address these issues, a thorough review of existing mitigation and prevention systems, policies and plans, and measures taken both by the government and education stakeholders is required.

Indeed, a country's education sector policy is embedded in general policies, including global and national orientations, legislation, and its geopolitical situation. These overarching policies and frameworks should guide the analysis in view of elaborating conflict and disaster risk reduction strategies. Section 4.1 will outline some key considerations for the review of risk reduction enabling factors at the national level, such as political/policy arrangements, sectoral or intersectoral plans and strategies, institutional arrangements, coordination arrangements, data considerations, and M&E frameworks. This will help to assess the level of commitment of the government to risk management globally, and particularly, within the education system.

Once enabling factors have been analyzed, we can then turn our attention to the education system itself and assess how it manages risks and seeks to promote safety, resilience and social cohesion (Section 4.2). This involves looking at various education sector-specific arrangements in domains pertaining to policy orientations, including for safe schools and access to education by crisis-affected groups; institutional arrangements, such as EiE and cluster coordination mechanisms, and system capacity development for risk-informed programming; and specific measures to plan for educational continuity during conflicts and disasters, such as resilient infrastructure, school-level risk management and system-level contingency planning.

Finally, in complement to the analyses carried out in relation to education cost and financing, Section 4.3 will highlight some specific considerations for the analysis of funding EiE.

Sources to consult may include: national policies; donor-supported analytical reports (World Bank SABER resilience reports, UNDP CADRI reports, UNICEF Peacebuilding, Education and Advocacy [PBEA] reports); institutional documents such as contingency plans, curriculum, and teacher training materials; budget data (public budget reports, OCHA financial tracking services, country financial donor reports); and key informants from the MoE and Education Cluster/EiE coordination mechanisms.

4.1 National Risk Reduction Enabling Factors

The aim of this section is to briefly review any enabling factors for risk reduction, hazard mitigation, safety, resilience, emergency response and social cohesion, at the national level. These may include legislative and regulatory frameworks and instruments, political and policy arrangements, coordination and M&E mechanisms, specific preparedness and response plans, and capacity building programs, with particular focus on emergency prevention, preparedness, response and recovery.

- *Political/policy arrangements.* These might include: the adhesion to international or regional conventions or frameworks for the protection of human rights, humanitarian response, disaster risk reduction or climate change, and their adoption into national law; national legislative measures, decrees or policies in these areas; mechanisms to declare a state of emergency, and the rights and responsibilities that state then confers, and on who
- *Sectoral or intersectoral plans and strategies.* Such national instruments might include: national strategies and action plans; contingency plans for different risk scenarios involving hazards or conflict; natural disaster prevention programs; disaster relief preparedness plans; environmental protection plans, in relation to climate change or deforestation for instance; peace agreements, and truth and reconciliation strategies; emergency response action and funding plans, by sector, or region.
- *Institutional arrangements.* Institutional arrangements are the backbones for the effective implementation of policies and strategies. A major feature of risk management interventions, given their frequently local nature, is the appropriate decentralization of authority, be it through deconcentration or delegation, to ensure effective and context-sensitive responses. There should also be specific committees or commissions for the implementation and monitoring of key policies, strategies or commitments.
- *Coordination arrangements.* Countries may have established national coordinating bodies, inter-departmental committees or intersectoral commissions for disaster risk management or conflict risk reduction. Their level and location of anchorage (Presidency, Prime Minister's Office, Interior Ministry), specific functions and mandate (program design, emergency response, monitoring of hazards and conflict), and members (ministries, NGOs, communities, faith-based organizations) should be appraised. While greatly contributing to effective preparedness and response, coordination often faces issues of partner transparency, harmonization and governance. Such arrangements may be delegated by government to specialized international organizations such as OCHA or UNHCR in specific circumstances.
- *Data considerations.* In reviewing data availability, attention should be paid to: the coverage of population data, for crisis-affected children and refugees in particular; the inclusion of crisis-specific data, such as on population mobility, cross-border

attacks, psychosocial support; disaggregation; the existence of parallel systems, such as for refugees, or those organized by individual partners (e.g. NGOs, international organizations, bilateral donors, etc.); the compatibility of and links between different systems, or alternative data sharing mechanisms among players.

- *M&E frameworks.* Both systems and stand-alone documents should be assessed, to appraise the extent to which they integrate key performance indicators related to interventions and outcomes, and provide a clear delineation of roles and responsibilities across stakeholders at various levels for data collection, analysis and reporting, and information use.

An illustration from a national risk management policy and framework analysis is provided in the box below, extracted from the ESA of Côte d'Ivoire.

EXAMPLE 12.24

(National Risk Management Framework): Organizational, Regulatory and Institutional Frameworks and Plans for Emergency Response, Côte d'Ivoire

Source: Adapted and translated from the Côte d'Ivoire ESA, 2015

Findings:

Côte d'Ivoire has adopted the fundamental international conventions and frameworks for actions which require nations to assist and protect their populations in situations of vulnerability due to conflicts and disasters which include:

- *The Convention on the Rights of the Child, the second objective of which is to ensure universal primary education;*
- *The Hyogo Framework for Action 2005-15, to strengthen the resilience of nations and communities to disasters;*
- *The Sendai Framework 2015-30, for disaster risk reduction, in harmony with global climate change adaptation systems; and,*
- *The ECOWAS disaster risk reduction policy and mechanisms document.*

The framework for action at national level is determined by: (i) the organization of the national disaster relief plan (ORSEC) according to Decree No. 79-643 of 8 August 1979; and (ii) the definition of sectoral contingency plans in the event of accidents, disasters or crises, according to Decree No. 98-505 of 6 September 1998. These plans have an institutional basis at the Ministry of the Interior, which is responsible for organizing disaster relief during peace time and is the only one realizing the ORSEC plan on a national scale. The departments, under the authority of its prefect, are also obliged to draw up an action plan to enable the rapid and effective implementation of all available and necessary means to cope with local crises. These plans have often been activated during naturally occurring disasters including bush fires, floods and landslides, or land disputes.

More recently, a set of efforts has been provided by Côte d'Ivoire to strengthen the organizational, regulatory and institutional frameworks for responding to emergencies. These efforts have resulted in:

- *The establishment of an Interdepartmental Committee on Disaster Risk Reduction (DRR), composed of 50 focal points in 2007;*
- *The development of a National Disaster Risk Management Strategy, together with an action plan, in 2011;*
- *The establishment of the Dialogue, Truth and Reconciliation Commission (CDVR) by Ordinance No. 2011-167 of 13 July 2011;*
- *The establishment of a national platform for conflict risk reduction, attached to the Office of the Prime Minister in 2012;*
- *The implementation of the National Social Cohesion Program in February 2012; and*
- *The creation of a framework for coordination of integrated crisis management, by decree 2015-102 of 10 February 2015.*

Each ministry is also obliged to draw up, within the framework of a ministerial instruction, its intervention plan at the level of the departments, agencies and institutions under its authority or supervision. It then submits this plan to the Ministry of the Interior for coordination with the general plan.

In situations where a disaster is unfolding or conflict is ongoing, the overall country-level governance may be affected. In that case, key composite indicators from various sources can be used, allowing for international comparisons, such as:

- *The Country Policy and Institutional Assessment (CPIA)* index is a World Bank tool that consists of rating countries against a set of 16 criteria grouped in four clusters: economic management, structural policies, policies for social inclusion and equity, and public sector management and institutions. It currently covers the 2005-17 period, with data for 95 countries.[54]
- *The Fragile States Index (FSI)*, by the Fund for Peace, a US think tank that aims to assess states' risk and vulnerability to conflict or collapse, provides scores and rankings, country dashboards, comparative and trend analysis and heat maps, on the basis of cohesion, economic, political and social indicators.[55]

4.2 Education System-Specific Risk Management Arrangements

For the education system specifically, analyzing resilience consists of looking at how well the system at all levels (central, decentralized and school) is prepared to face, manage, withstand, respond to and recover from hazards and conflict. UNICEF's "Risk-Informed Education Programming for Resilience Guidance Note" can be used as a helpful lens to review education system risk management arrangements, providing detailed information on education risk analysis, program design and adaptation, and monitoring risks and programs (UNICEF, 2019). The World Bank's SABER tool (Systems Approach for Better Education

Results) has a particular module on education resilience, that may form a complementary resource. It focuses on context-sensitive analysis through four components, aligned with the policy goals of: (i) managing and minimizing adversity in education; (ii) using and protecting positive engagement and assets in education communities; (iii) fostering relevant school and community support; and (iv) aligning education system services with resilience assets.[56]

While the areas of interest are vast, and each ESA will focus on those that the country risk profile justifies, it could be argued that the overarching purpose of education system risk management arrangements is to provide continuity in the delivery of teaching, in safe learning environments. Before covering some of the specific arrangements education systems can implement to prepare for this, some preliminary policy orientations and institutional arrangements are worthy of mention.[57]

4.2.1 POLICY ORIENTATIONS

Overall, this section will aim to determine the extent to which the national risk management policies identified in Section 4.1 are consistently reflected in the education system, at the central and local levels. Of course, the system may also have very specific policies of its own. This section will address two of the more common areas to look out for, with respect to the use given to schools, and orientations to cater for crisis-affected groups.

Safe Schools Policy

The Safe Schools Declaration provides states with the opportunity to express broad political support for the protection and continuation of education during armed conflict, and commit to working with partners such as the UN Security Council on the issue of children and armed conflict to prevent and respond to attacks on education. The Declaration was opened for endorsement in May 2015 (see GCPEA, 2015).

Beyond establishing if the country performing an ESA is a signatory, it may be of value to establish if data on attacks are effectively collected, and what national efforts may have been undertaken to translate the *Guidelines for Protecting Schools and Universities from Military Use during Armed Conflict* into domestic policy and operational frameworks (see GCPEA, 2015).[58]

The concept of 'safe' schools can however be broadened, beyond promoting safe learning environments, to providing safe locations and shelter for communities. Depending on their location and type of build (see Section 4.2.3), policies may exist for schools to be used as assembly points in emergencies, and natural disasters in particular (earthquakes, floods, heavy winds). They may also be designated facilities to provide temporary nighttime shelter to affected populations, displaced persons or refugees. Finally, it is common for school premises to be used as voting centers. Where such policies exist, a careful review will determine if they are adequately implemented, or failing that, what the major constraints to their full and effective implementation are.

Access to Education for Crisis-Affected Groups

It is common for refugees, IDPs, migrants and asylum-seekers to face multiple constraints in gaining access to education in their host communities, that may include: not being allowed to access formal schools, or even being allowed only to receive informal education; being allowed to access formal schools but with the condition of providing certain documentation (identification, past school transcripts) that refugees and displaced persons often lack, or subject to paying extraordinary enrollment fees. Such situations may reflect national policy, or local practice.

It will be important therefore to review any formal policies or guidelines issued by the MoE, as well as any education provisions in humanitarian and refugee response plans. Where they exist, the review should cover, in principle: (i) any restrictions in access to formal education; (ii) provisions for alternative education, including through temporary learning centers, informal or non-formal education; (iii) the opportunity to gain a certificate or diploma through these alternative educational pathways, or other provisions that would allow re-entry to formal education at a later stage; and (iv) specific arrangements for minorities, including ethno-linguistic minority groups, children having suffered trauma, and children with disabilities.

Secondly, the review should cover, in practice, any constraints that limit the policies' effectiveness, including official or de facto institutional obstacles, lack of alignment with the ESP, absence of adequate funding, reticence on behalf of local education authorities to participate in delivery, or inadequate time frames for the delivery of vital learning activities.

EXAMPLE 12.25

(Education Plans for Refugees):
Access to Education for Rohingya Refugees in Bangladesh's Cox's Bazaar, 2018
Source: Adapted from JRP for Rohingya Humanitarian Crisis (JRP Strategic Executive Group, 2018)

Since August 2017, more than 671,000 Rohingya refugees have fled Myanmar and sought safety in Cox's Bazaar. The humanitarian community, led by the Inter-Sector Coordination Group in Cox's Bazaar and the Strategic Executive Group in Dhaka, has worked closely with the government to draw up the Joint Response Plan (JRP) for 2018, which lays out a vision to address the immediate needs of the refugees and mitigate the impacts on affected host communities.

Findings:

Comprising over 50 percent of the refugee and host communities, an estimated 625,000 children and youth (ages 3-24) lack access to learning opportunities, and safe and protective learning facilities in particular.

SECTOR	TOTAL				BY AGE & SEX		UNDER 18		OVER18	
Sector	People in Need	People Targeted	% of PIN Targeted	JRP # of Partners	Male%	Female%	Male%	Female%	Male%	Female%
					312 500	312 500	256 250	256 250	50 000	50 000
Education	625 000	540 000	86%	11	50%	50%	41%	41%	8%	8%

In terms of education access, the post-August influx receives mostly informal education. Depending on length of stay, earlier arrivals have by now managed some access to education services in a variety of ways, and some are embedded in host communities. While informal education programs have been ramped up since 2016 for undocumented refugee children, these children are not entitled to enrol in government-accredited schools, nor can they sit for the Primary School Certificate exam.

Access to formal education faces several challenges. The dropout rate for Cox's Bazaar is 45 percent for boys and 30 percent for girls; both Rohingya and Bangladeshi children mention low levels of family income as a key reason for dropping out to find work. Urgent financial needs have caused families to deprioritize education. Certain categories of children face particular barriers to education, including child labourers and children with disabilities, as well as those in households headed by women and/or children. Also, within both refugee and host communities, girls face additional sociocultural barriers combined with safety concerns and supply-related issues.

Providing quality EiE interventions is also a challenge due to the lack of an approved curriculum for Rohingya children. This challenge is complicated by the sensitivity of issues such as the language of instruction. Currently, government policy requires the language of education to be Rohingya, Burmese and English. Retaining qualified teachers is also difficult, as is providing sufficient supportive supervision. Both teachers in host communities and learning facilitators in the refugee camps reported their urgent need for further training in pedagogy, as regards to particular academic subjects as well as general life skills.

Finally, young people are underserved by outreach efforts, although 20 percent of the total refugee and host community populations are youth between the ages of 15 to 24. Addressing their needs is critical in light of the risks that the fluid and unsettled life in camps and settlements pose for young women and men. Such risks include trafficking, drug abuse, early marriage, as well as hazardous or exploitative work. Education services in emergencies therefore also need to focus on increasing the resilience and self-reliance of refugee youth – not just children.

4.2.2 INSTITUTIONAL ARRANGEMENTS

Ensuring optimal use of often stretched resources in emergency situations at very least requires reasonable coordination, to reduce transaction costs in the organization and delivery of the response, and avoid unnecessary duplication or concentration of efforts. Responses will be all the more effective where coordination mechanisms exist and have functioned before a crisis, and where key staff are adequately trained, two aspects broached in detail here.

It should be noted that data systems that provide an actionable appraisal of needs and circumstances of all children affected by a hazard or a conflict are also fundamental. The introduction of this chapter raises the considerations required to both perform a critical appraisal of the data available to inform a risk analysis of education, and shape views on the extent to which existing data systems appropriately contribute to education system risk management.

Coordination

When emergencies occur, good coordination means fewer gaps and overlaps in the assistance delivered by government agencies and humanitarian organizations. A review of emergency response coordination mechanisms should review the existence, functioning and relations between the following bodies:

- *MoE unit for conflict and disaster risk reduction*. Should such a unit exist, its relationship with the national coordination body and intersectoral linkages with the units dealing with risk management in other ministries (health, social affairs, humanitarian affairs, interior) should be explained. This is of particular importance for early childhood and adolescence, as other ministries may have the lead for such age groups, and because education interventions divorced from physical and mental health protection may not be effective.

- *External units with a mandate including education.* If there are units or bodies beyond the ministry of education that also deal with education for crisis-affected children (social services, refugee affairs, labor), coordination mechanisms with the MoE (including with respect to the coordination of activities and sharing of data and information) should be explored.

- *Education in emergency (EiE) committees.* If specific committees, working groups, task teams and other coordination mechanisms have been created in response to an emergency or crisis, their functions, capacities and constraints should be reviewed, as well as their position within the national landscape of emergency response players.

- *Education clusters.* Clusters are groups of humanitarian organizations, both UN and non-UN, designated by the IASC and have clear responsibilities for the coordination of humanitarian responses, under the supervision of the UN resident coordinator and/or humanitarian coordinator and the country team. Organization modes can be partially decentralized, such as in DRC, where the education cluster includes 11 provincial clusters, four sub-clusters and two thematic groups, targeting a total of 600,000 children in 2012 (IIEP-UNESCO/MOGEI, 2017).

EXAMPLE 12.26

(EiE Coordination Mechanisms): Contrasted Approaches of Development Partner-Driven Humanitarian Coordination in South Sudan, and Government-Led Reconstruction Coordination in Nepal

Source: Adapted from the South Sudan ESA, 2017 and Nepal School Sector Development Plan 2016-2023

The humanitarian crisis following chronic instability and the outbreak of conflict in 2013 in South Sudan, and the earthquakes in April and May 2015 that caused extensive loss and infrastructure damage in Nepal, both pose significant challenges to the education system. In both countries, international aid plays an important role in supporting national efforts, with a broad range of development partners involved.

In South Sudan *there is a strong humanitarian presence. As of December 2015, a total of 174 organizations (mostly NGOs and UNICEF) were involved in emergency programs, 27 of which targeted education. Humanitarian education partners are concentrated in conflict-affected states, with a noticeable bias towards Central Equatoria, leaving a large part of the country uncovered.*

Coordination between national and international education partners and government occurs at two levels: the initial project proposal stage and later during project implementation. Project funding is awarded based on proposals pre-selected by cluster coordinators and MoEST, although the final selection is made by the OCHA. Program coordination takes place through clusters organized at national, state and county levels. At the national level, the education cluster (co-led by UNICEF and Save the Children) holds bi-weekly meetings to share situational reports on activities, achievements and challenges. The government intervenes when activities are off-track. In addition to these national meetings, state-level meetings with NGO partners occur on a monthly or on a needs' basis.

While links exist between government and partners implementing programs, coordination is difficult, lacks transparency and faces challenges due to a lack of essential information-sharing. Not all partners abide by existing channels and report activities to the government, while others bypass local government and operate programs with little or no oversight, undermining the development of government institutions. Information-sharing is hindered by poor communication (lack of internet and/or mobile network) between the state clusters and partners. In some cases, state clusters are not in a position to identify partners operating in their states and, thus, cannot ensure equitable distribution of resources to populations in need or prevent the duplication of services. Lastly, there are insufficient written reports from partners to track projects at the national level and a general lack of partner transparency.

In Nepal, *the coordination of the recovery of the school education sector reconstruction work in the 31 affected districts is being undertaken through the Department of Education's (DOE) Project Implementation Unit, supported by the Nepal Education Cluster, in line with the Post Disaster Recovery Framework (PDRF). Planning of the recovery work will be coordinated through the School Sector Development Plan (SSDP) sector wide approach, and monitored through regular joint consultations and reviews of progress.*

Memoranda of understanding for transitional and permanent reconstruction in the school education sector made during the response period at the district level will be reviewed through a fast-track mechanism and then accredited or otherwise at the central level by DOE. At DOE, a focal desk has been established to coordinate budget support for reconstruction and the National Engineering Campus has set up a coordination mechanism through the placement of focal persons in the most affected districts. Apart from the National Reconstruction Authority as the Programme Management Unit, the key implementing agencies will be the project implementation unit and district implementation units in affected districts.

Capacity Building

Ensuring that key education actors at the various levels of the education system (from the central level to the school level, including sub-national and community levels) are adequately equipped to address risks and take safety, resilience and social cohesion into account in education is a prerequisite to ensure resilience.

The analysis will therefore focus on dedicated trainings and awareness campaigns by investigating the content, population targeted, number of beneficiaries and coverage of the interventions (the number of beneficiaries vis-à-vis the target population). When possible, information of the number of beneficiaries by type of intervention should be disaggregated by gender, geographical location and its level of risk.

Three broad categories of actors can be considered for capacity building: officials from the MoE, planners, and managers; teachers; and other education stakeholders such as NGOs or PTAs. Note that for teachers, management practices to avoid attrition in situations of particular hardship that are common in conflict and hazard contexts, are as important to build capacity at the system level as the training of existing or new staff.

- *Training of MoE officials, planners and managers.* If such training exists, the analysis should consider: (i) who is trained, at the central and decentralized levels; (ii) the precise areas covered, such as conflict and disaster analysis, risk and vulnerability analysis, disaster risk reduction, school safety, resilience and social cohesion; (iii) whether training provides opportunity to learn how to practically reflect the mentioned themes in planning cycles and exercises (development of priority programs, M&E, cost and financing); and in particular (iv) whether curriculum design teams are trained to reflect these themes in teaching and learning materials and pedagogical approaches.
- *Teacher training.* The aspects to review to determine if teachers are being adequately prepared include: (i) the upstream preparation of teacher trainers in risk management; (ii) the effective coverage of the target audience, including headteachers and teachers, through pre-service or in-service programs; (iii) the content of training, in areas such as peace education/conflict prevention, responsible citizenship, reconciliation, school disaster and emergency management, disaster risk reduction, psychosocial support for children affected by emergencies, health and hygiene, environmental education, inclusive and participative education, non-discrimination, non-violence, acceptance of diversity, encouraging critical thinking, peaceful dispute settlement, and respect for different opinions; and (iv) specific arrangements for refugee teachers, in line with their pupil audience, qualifications, and professional development needs.
- *Teacher management.* Arrangements to review that may aim to ensure that existing capacity is not lost in a crisis situation include: (i) ongoing payment of teachers, by the government, communities, NGOs, UNHCR or other education partners, in the form of their salary, a subsidy, or compensation pay where salary payments are suspended; (ii) the provision of additional hardship incentives, such as stipends,

accommodation, premiums, and quota systems; and (iii) the impact of funding discontinuity/predictability on teacher attrition rates. In South Sudan for instance, finding an appropriate wage/incentive balance between government teachers and EiE teaching facilitators has been a challenge, leading to sporadic strikes by the former, to voice grievances that the latter receive significantly higher pay.

- *Other initiatives.* Other efforts undertaken to build capacities for risk management may involve ad hoc training for other stakeholders in safety, resilience and social cohesion, such as PTAs and NGOs, and the design of public awareness and sensitization campaigns.

EXAMPLE 12.27 **(Risk Management Capacity Building): Training of Trainers on Education in Emergencies, DRC, 2012**
Source: Adapted and translated from the DRC ESA, 2014

Four- to five-day trainers' trainings on education in emergencies were held in 2012 in Goma, Butembo, Walikale, Bukavu, Kisangani, Bunia and Dungu (covering the provinces of Nord-Kivu, Sud-Kivu and Province Orientale). These training courses were dedicated to ESP managers to make them aware of the importance of the continuity of education in emergencies, possible fields of intervention, preparatory measures, and the role of the ESP in conflict preparedness and response, education in emergencies and the implementation of resolution 1612.

Findings:
The training enabled educational authorities to gain a better understanding of the humanitarian framework and coordination and of their key role in emergency situations. It laid the foundation for a process that continued in 2013, to gradually strengthen the skills of teachers and managers, reinforce their awareness of the issue, strengthen risk preparedness and mitigation mechanisms, and work towards a gradual exit strategy.

However, the conflict analysis carried out in June-July 2012 by Search for Common Ground in four provinces (Province Orientale, Equateur, Maniema and Katanga) revealed that teachers are not properly equipped to promote peace through education, with 81 percent lacking training in conflict resolution. If the school curriculum can promote peace through civic and moral education or life skills courses, these courses are often neglected, apparently because of their low exam weighting and poor adaptation to the realities of the environment.

4.2.3 PLANNING FOR EDUCATIONAL CONTINUITY

The provision of education in crisis situations is particularly important, as it helps to restore normalcy and allows children to return to a familiar routine, which can instill hope for the future and even mitigate the psychosocial impact of emergencies, while keeping pupils from missing a whole school year (or more) which could later lead to early dropout. Providing

education in crisis-affected areas is therefore of major importance. Thus, practices to ensure educational continuity should systematically be reviewed, such as resilient infrastructure, school-level risk management and system-level contingency planning.

Resilient Infrastructure

The concept of resilient infrastructure encompasses several dimensions, including the adequacy of the location of school sites, school construction norms, and school maintenance practices (explored below). Where possible, the analysis of the above should be complemented by information on the percentage of schools following the required norms/guidelines, disaggregated by geographical areas' level of risk. Where schools have been destroyed by a natural disaster or violent conflict, the resilience of temporary learning centers should also be considered.

In Chad for instance, a Conflict-Sensitive School Construction Manual was developed and rolled out to 194 national MoE staff, engineers, architects, planners, teachers and inspectors involved in constructing schools. Communities were also sensitized and given the responsibility of monitoring the construction processes. Initial anecdotal evidence suggests a reduction of misunderstandings between communities and the MoE. This paved the way for the consensus-based construction of 312 classrooms to date, giving 12,636 boys and girls access to a safe learning environment (UNICEF, 2016b).

- *Location of schools/temporary learning centers.* An appraisal of this dimension will consider the factors used by school mapping and planning services to determine new sites, as well as any reviews of the appropriateness of existing sites. Factors would include the safety of access and evacuation routes; local natural hazard maps; soil quality, including for water drainage and flood risks; and distance from known fault lines. Indications of the extent to which existing guidelines are respected, or the constraints that limit their application, will be valuable.

- *School construction norms.* Truly resilient facilities will be built according to disaster-related designs and construction norms, that will likely vary according to the location in a country and its risk exposure. For these to be respected, where they have been developed, will entail effective technical and managerial oversight of building processes, and possibly specific training of masons, site coordinators and community members. Construction norms may also specify details such as perimeter fencing for safety, or gender-segregated latrines. Temporary learning centers, given their very nature, will be subject to less stringent criteria and entail less investment, but they should nevertheless strive to be safe.

- *School maintenance.* Maintenance of grounds, buildings and facilities is fundamental to ensure that schools provide safe and resilient environments for their learners. This is an area that will likely face several constraints that should be reviewed, not least of which is the provision of appropriate guidance and funding.

EXAMPLE 12.28 **(Disaster Resilient Infrastructure): Seismic-Resilient Reconstruction, Repair and Retro-Maintenance of Schools, Nepal, 2016**

Source: Adapted from the Nepal School Sector Development Plan 2016-2023 (Nepal Government, 2016)

Large areas of Nepal are disaster prone, and the country has experienced a number of earthquakes and other natural disasters over the past decades, with the April and May 2015 earthquakes causing extensive human loss and damage to livelihoods and infrastructure. Following these, a full Post Disaster Needs Assessment (PDNA) and Recovery Framework was completed. Education was one of the sectors assessed, and over 45,000 classrooms, as well as many school facilities, were identified as being in need of repair or reconstruction. In addition, the Department of Education (DOE) has undertaken a rapid assessment of all basic and secondary schools in the 14 most affected districts and initiated a detailed damage and vulnerability assessment in these districts.

The findings informed the Nepal School Sector Development Plan 2016-23 cross-cutting theme on disaster risk reduction and school safety, that aims to ensure access for all children to a safe enabling learning environment, through the reconstruction, repair and retro-maintenance of schools in earthquake-affected areas and the safe construction and retrofitting of schools in non-affected areas, as well as improve disaster management and resilience in communities.

Findings:

The education sector is developing a DRR strategy in line with the national school safety framework, to ensure that new constructions are designed to meet minimum safety and resilience standards. A National Society for Earthquake Technology pilot project had retrofitted a few schools, making them safe and earthquake resistant, in 2014. This provided the blueprint for retrofitting school buildings. To address the different reconstruction needs in the affected districts, a number of school building types are being designed, for early childhood and primary. In addition to being seismic-resilient, key features include child-friendly facilities, WASH, and where possible sustainable features such as solar energy and rainwater harvesting. Given the imperative of relying on 15,000 temporary learning centers in the short term, these have also undergone design type development, to adapt their construction or upgrade to geographical contexts within the affected areas and to withstand monsoon, storms, snow, hail and rain to ensure uninterrupted education in a safe environment.

Various quality assurance measures to ensure resilience compliance have been contemplated, or enacted, including: (i) guidelines for the development of type designs of primary school buildings; (ii) retro-maintenance guidelines and designs for secondary schools, including some block designs; (iii) a reconstruction supervision manual for both technical supervisors and school management committees (SMCs); (iv) the deployment of 2 infrastructure engineers within the DOE at the central level to support detailed damage assessment and preparation of guidelines and designs; (v) the deployment of site officers within the 14 affected districts to support the Government district focal points; (vi) the training of 184 engineers and 1,095 masons and contractors in the most affected 11 districts to ensure capacity for the recovery; (vii) visits of selected schools by district education office engineers to make sure that the reconstruction process, site plan, schedule and roles are fully agreed and understood; and (viii) memoranda of understanding between SMCs and district education offices.

Up to date, further significant achievements include: (i) around 8,000 temporary learning centers have been opened, of which 3,561 were provided through the Nepal Education Cluster; (ii) 215 schools have been retrofitted and given retro-maintenance; (iii) the reconstruction of the first batch of 489 schools has been initiated in the most affected areas; (iv) school rehabilitation was initiated in three districts with the grant assistance of a Japanese Government project covering 91 school blocks; and (v) tender notices for further construction have been published, including for 5 schools in a valley district and 3 school buildings from Kavre.

School-Level Risk Management

The ultimate aim of school-level risk management is the protection of schools, teachers and pupils when exposed to hazards or conflict. The appraisal of measures in this area might differentiate between the application of non-structural mitigation policies, norms and standards that are defined at the central level, such as the Safe Schools Declaration (see Section 4.2.1), community-level initiatives, and practical preparedness steps taken within schools.

- *Policies norms and standards.* Such non-structural mitigation measures might include policies regarding the acceptable and advisable uses of school facilities, norms for the protection of students, staff and educational assets (designated assembly points, protection of supplies from water), or standard operating procedures, frameworks and guidance for emergency situations (shelter, evacuation, lockdown, assembly, family reunification). Where they exist, gages of their effectiveness could include the involvement of schools in their elaboration, the provision of guidance for their adaptable application, and monitoring and enforcement mechanisms.

- *Community-level initiatives.* Communities that are regularly exposed to hazards or conflict may conduct their own risk assessments and engage in risk reduction planning, including aspects of physical and environmental protection, and development of response capacity involving schools. School buildings and grounds may be assessed for specific safety hazards, such as dangers on the school grounds or a lack of safe places for children and teachers to assemble during emergencies.

- *School preparedness.* Resilient schools will have their own disaster management plans so that pupils, teachers and other education personnel know what to do in an emergency. These needn't be complex tools, but would usually include an identification of key local risks, the designation of school protection committees (or indication of protection/safety responsibilities assigned to the school management committee), the designation of staff members responsible for safety (and ideally resilience and social cohesion), and the practice of assembly, evacuation or lockdown drills.

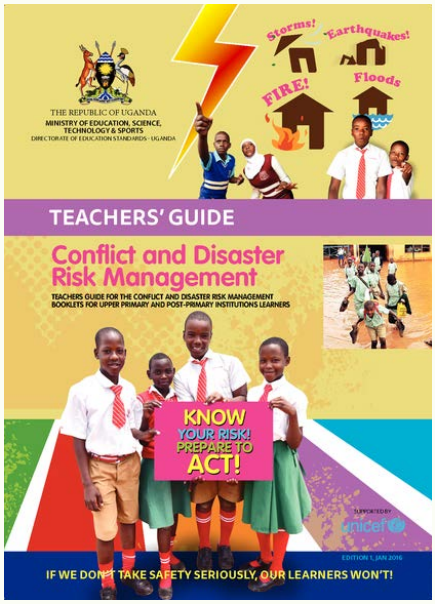
EXAMPLE 12.29 **(School-Level Risk Management): Conflict and Disaster Risk Management (CDRM) Guidelines for Educational Institutions, Uganda**

Source: Seeger and Pye, 2016

Uganda is exposed to risks of conflict and disaster, through inter-ethnic disputes, natural hazards such as floods and drought, and population movements, being host to the third-largest refugee population in Africa. Conflict and disaster can pose a threat to the safety and well-being of learners and teachers, destroy school infrastructure, disrupt instruction and result in teacher shortages. The Ministry of Education, Science, Technology and Sports (MoESTS) undertook to address these risks, their likely impact on education and education's potential role in exacerbating or ameliorating disputes, through a CDRM agenda.

Findings:

MoESTS developed A Guide to Conflict and Disaster Risk Management in Educational Institutions in Uganda (the CDRM guidelines) with UNICEF PBEA support, launched at the 2015 education sector review. The guidelines take into account international and regional instruments ratified by the government and formulate policies and programs that are conflict-sensitive and contribute to disaster risk reduction. They stipulate each stakeholder's role in mitigating and responding to risks and disasters.



The guidelines are now being disseminated at all levels, including at school level. Upper primary and post-primary learners receive a child-friendly version, which is accompanied by a detailed teachers' guide, outlining key planning steps, providing checklists of response actions to adopt for different risk scenarios, and sample pedagogical content. The materials aim to equip teachers and learners with the necessary information on the specific actions that have to be taken in order to avert a conflict or disaster, keep a school or vulnerable learners from harm, and make schools safe for learning.

Discussions held during workshops revealed a general perception among education officials at all levels that there is no shortage of transformative policy in the education sector. However, weak operationalization of policies continues to affect the long-term development process, including addressing conflict and disaster risks in and through education. Therefore, strategic dissemination of the guidelines and the provision of associated training, and the publication of a child-friendly version, constitute important steps towards their operationalization.

System-Level Contingency Planning

Contingency planning is defined by UNDRR as a management process that analyzes risks and establishes advance arrangements to enable timely, effective and appropriate responses. It results in organized and coordinated courses of action with clearly identified institutional roles and resources, information processes and operational arrangements for specific actors at times of need, based on scenarios of possible emergency situations. Contingency planning is an important part of overall preparedness.

Key aspects of contingency planning in education are outlined here. Conducting such exercises independently will usually be beyond the capacities of schools and local education authorities though they may be required to adapt national contingency plans to local circumstances or to participate in specific activities contemplated in a national plan, receiving targeted support or training to do so. As conflicts and hazard exposure are quick to evolve, so must contingency plans be regularly adapted and updated at the local level.

- *Continuity of instruction.* To minimize disruptions in schooling in the event of school closure, several contingencies can be envisioned in national, local or sub-national plans, such as the advance designation of alternative locations, sites and facilities for both teaching and national examinations; the identification of alternative methods of instruction (volunteer support for home-based learning, radio, peer-to-peer learning); or the adaptation or rescheduling of academic calendars.
- *Material resource management.* Plans may make provisions for the pre-positioning of key material resources, inputs and stocks in safe locations, for ongoing teaching following damage (tarpaulins, curricula, textbooks and learning materials), the set-up of temporary learning centers following a disaster or influx of refugees (educational materials, school equipment, tents, light infrastructure), or to enable the rapid resumption of schooling following a crisis.
- *Community involvement.* For contingency plans to be effective at the school level, the ongoing involvement of communities and PTAs is paramount. Plans will only be as valuable as the knowledge all community members have of their proposed arrangements. Communities are often active players in local safety and protection committees, contribute to planning exercises and emergency drills as well as being instrumental in building resilience, and promoting social cohesion and peace.
- *Central-level arrangements.* The effective implementation of contingency plans at the local level will hinge on a number of prerequisites at the central level. To mention but a few: systems to safeguard and back-up student and personnel records, curriculum documents and examination information; budgeted contingency funds, to cover rapid response costs; emergency procedures for rapid teacher recruitment and mobilization; special mechanisms to avoid disruption in teachers' salary payments.
- *Investment in remote learning and hybrid learning models.* Systems for delivery of remote learning using various delivery channels (digital, TV, radio, paper-based)

should be invested in for use during times of school closures. Producing accessible digital and media resources based on the curriculum will not only allow a quicker response, but their use in ordinary times can also enrich learning opportunities for children in and out of school.

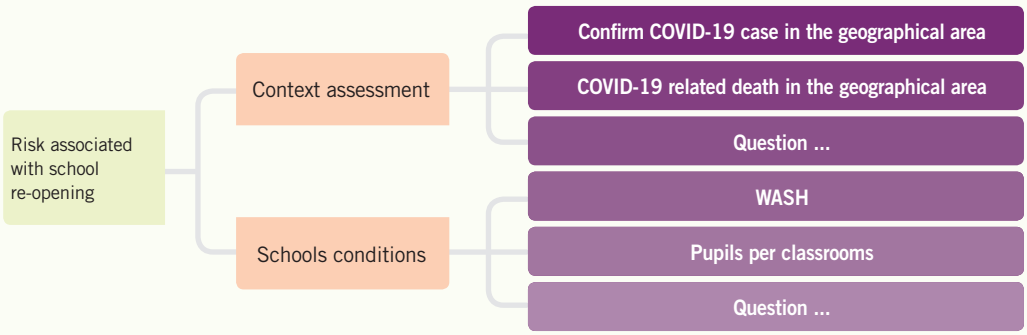
Many of these measures may also be implemented in ad hoc fashion, in response to specific needs, or with the support of humanitarian organizations, qualifying more as resilient coping strategies. The DRC ESA (2014) highlights the types of adaptation measures deployed to ensure education continuity in conflict–affected provinces, including flexibility in teaching time and the school calendar, school relocation, the organization of special exam sessions or waiver of participation fees, and teacher training in psychosocial support. While such initiatives also contribute to local resilience, they do not reflect a system-level building of conflict-management capacities.

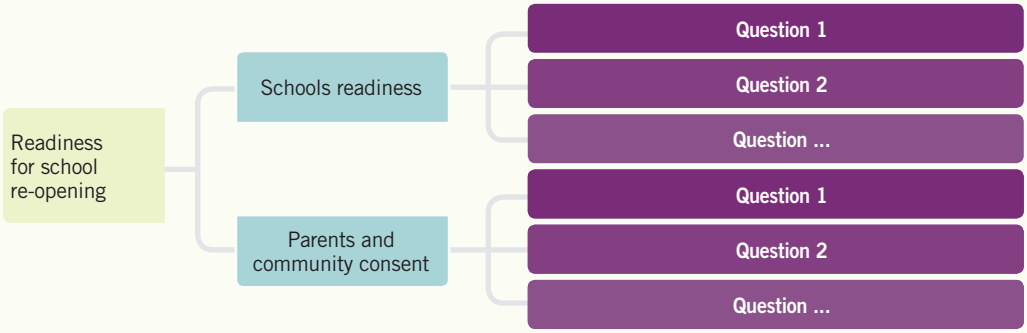
EXAMPLE 12.30

(COVID-19 Response): Tools for assessing the risk associated with the spread of COVID-19 in schools[59]

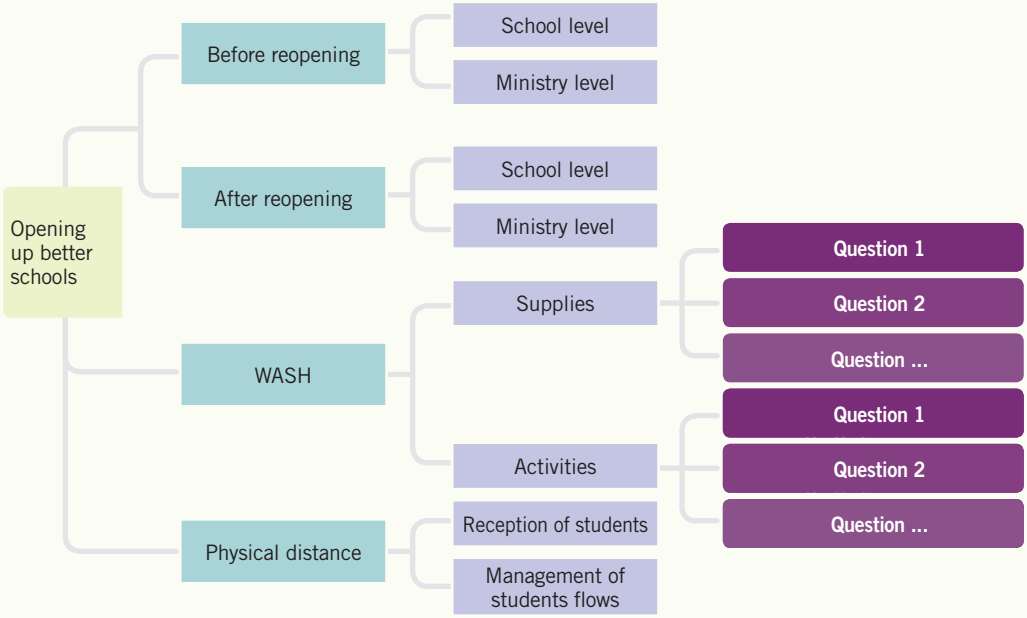
The COVID-19 related world crisis has come up with the emergence of various tools to support national education systems to monitor the effects of COVID on education and also the measures implemented by education systems to respond to the pandemic. Some of these tools include an assessment of the readiness of schools and the risks associated with their reopening. UNICEF's regional offices in Eastern and Southern Africa (ESARO) and South Asia (ROSA) have developed such tools. Both tools are built as a compilation of critical checklists and aimed to guide and inform decisions, preparations, actions needed at the Ministerial, sub-national and school-level in preparing for safe school reopening and operations.

*The ESARO's **risk assessment tool for schools reopening** aims to support countries to assess the risks related to schools reopening as well as the level of education system preparedness for reopening in order to mitigate the COVID19 risks. The tool is due to be run at sub-national level. The tool is based on a series of key questions (checklists) whose answers make it possible to assign a score to the administrative or decentralized entity to which it is applied. Two areas, the context and the schools' conditions are included in the risk assessment while the readiness for re-opening included school readiness and community consent. See Annex 12.2 for more details.*





*The ROSA's '**Opening Up Better Schools Toolkit**' aimed to help with the thinking and actions needed to build back better schools. It is a compilation of checklists and technical guides that decision-makers, practitioners and development organizations can use to help define and/or support a comprehensive approach to school reopening. It can be a practical tool for governments and schools to use to check if key measures are in place and to track status of preparations for safe school opening and operations. The checklists include aspects such as WASH, physical distancing and level of preparation as in following diagram.*



The tools can be used both as a planning and monitoring tool for reopening and school operations, at both ministerial, provincial/office of education and school-levels. While they have been developed specifically as part of the COVID-19 response, the tools can be adapted and reused for other types of risks, particularly when assessing the level of vulnerability of the education system and its capacity to mitigate the effects of disasters. They can be very useful in particular when dealing with epidemic risks by reformulating the questions and elements of the checklists to make them relevant to the type of disaster in question.

EXAMPLE 12.31 **(Use of COVID-Response tool): the 'Opening Up Better Schools Toolkit' in South Asia[60]**

*Three UNICEF country offices (Bhutan, Maldives, India) in the region used the '**Opening Up Better Schools Toolkit**' to engage with their government/local government counterparts in planning for reopening, specifically to identify what needs to be addressed and undertaken at the national level to prepare for safe school reopening.*

For instance, in Bhutan, the toolkit was integrated into the national-level guidelines for reopening schools and adapted into a school-level monitoring tool at to assess school compliance with the measures put in place. The country included a stronger focus on inclusion of children with disabilities and psychosocial support for teachers and children in their adapted checklist. In Bhutan case, where the COVID-19 response was focused primarily on health, the comprehensive nature of the toolkit was identified as helpful in advocating for developing a more robust national Education in Emergencies response plan specifically for COVID-19. One of the checklists in the toolkit, was adapted to the Bhutanese context, for school management to assess safe school reopening, and for monitoring/ visiting officers to use for school visits to monitoring compliance. It was also linked to the EMIS system and other existing systems such asBhutan Council for School Examinations and Assessment, Royal Education Council.

4.3 Education in Emergencies Funding

When a conflict or natural disaster happens, education is often the first service to be interrupted and the last to be resumed. Governments are usually overwhelmed by needs and prioritize relief efforts on the basic requirements for populations to survive – food, water, shelter and protection. Within the education system, early childhood is particularly neglected. Ensuring continuous access to quality learning during emergencies faces a serious financial challenge.

> " Education in emergencies continues to be chronically underfunded. In 2016, education in emergencies received only 1.9 percent of total humanitarian spending, and 3.5 percent of sector-specific humanitarian financing. Despite the international commitment to the 2030 Agenda, education is not prioritized in crises. For SDG4 (Quality Education) as a whole, there is an estimated annual financing gap of $39 billion between 2015 and 2030 for reaching universal pre-primary, primary and secondary education of good quality in low and lower middle-

> income countries, equivalent to 1.6 per cent of GDP across all countries. If the gap were to be filled entirely through aid, it would require a six-fold increase in aid financing for education. For humanitarian education funding, an estimated $8.5 billion annually would be needed to reach all children in need of education support. This represents a staggering 20 times the 2016 level of education in emergencies funding." (ECW, 2018)

The main analysis of education cost and financing is covered by Chapter 3 in Volume 1 of the ESA methodological guidelines, including approaches to the review of public funding on the basis of government budgets and budget reports, and the distribution of education funding, and recurrent costs in particular, by source (government, NGOs, international organizations, households) to determine the level of budget dependency on nongovernmental stakeholders. This section aims to offer complementary approaches, to appraise the level of national budget preparedness to respond to education emergencies.

Obtaining information on funds mobilized and ultimately executed by various humanitarian actors including the government is critical in order to ensure the availability of adequate level of funding for emergency response. Such information or data can help to analyze the funding gaps, assess equity and sustainability issues, and identify potential funding leverage for scaling up the risk prevention, mitigation and response interventions.

Accurate data are however difficult to obtain, particularly given the numerous and various types of partners involved as well as the lack of systematic tracking mechanisms of funding going in to these types of interventions. Government record-keeping of international funding for off-budget projects is often inconsistent. Donors often choose not to report their expenditures to the government and prefer to fund education directly either through infrastructure or capacity building programs. Moreover, when donors work with local governments and implement these types of programs, the financial allocations and expenditures are consistently under-reported.

The following approaches may help to overcome these constraints:

- *Identify the sources of emergency education expenditures*, from both the government and donors, including funds obtained from the Central Emergency Response Fund (CERF), the Common Humanitarian Fund (CHF), the Emergency Response Fund (ERF) and ECW. Data on humanitarian funds can be obtained directly from donors (via questionnaires/interviews or country donor financial reports) or from open source data, such as the OCHA financial tracking system (FTS), and Humanitarian Action Plans (HAPs). Note that humanitarian funding under FTS goes over and beyond funding behind humanitarian appeals, to also include bilateral funding. Data on refugee response plans is not generally included in FTS, and should be obtained from UNHCR.

BOX 12.12 Challenges in Tracking EiE Funds for the Education Response to the Syria Crisis

A Human Rights Watch report summarized four main underlying problems in tracking education funding for the Regional Refugee & Resilience Plan (3RP) in Turkey, Lebanon and Jordan:

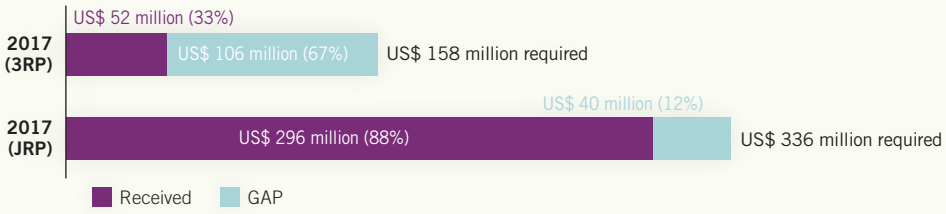
- Lack of consistent, detailed, timely reporting by donors, which often made it difficult or impossible to determine how much support individual donors have given to education in each host country, and when.
- Lack of information about the projects donors are funding, and their timing.
- Inconsistent information about school enrollment, which makes it difficult to assess progress.
- Inconsistent education targets and goals set by donors and host countries.

In the ongoing No Lost Generation feasibility study on setting up an observatory of financial support for Syria and its five neighboring countries, the major aspects constraining the tracking are summarized as:

- The multi-dimensional aspect of the funding: humanitarian, developmental and political
- The multi-year funding
- Tracking execution of funds
- Different systems and tools used for fund tracking
- Country-specific limitations
- Terminology and classifications

The inconsistent reporting resulting from these constraints can be staggering. For example, in 2017, US$296 million were provided, accounting for 88 percent of the US$336 million requested for 2017 through the Jordan Response Plan (JRP) led by the Ministry of Planning and International Cooperation. However, according to 3RP, the regional response coordinated by UNHCR and UNDP, only US$158 million was required and only US$52 million was received. The improvement in fund tracking requires commitment and effort by all partners.

The Different Reporting in Education Funding 3RP vs. JRP



Source: Brussels II Conference, 2018

- A*ssess the amount of expenditures for education in emergencies.* This should differentiate between budgeted and actual amounts. Ensure that there is no double counting that inflates global amounts. Indeed, donor funding might appear twice, under donor spending for emergencies and under dedicated funding mechanisms (such as the CERF, CHF or ERF).

- *Compute the following indicators, based on actuals:*
 a. The share of funding requested that was actually received by the education sector, comparing it to the average share globally and the share of funding requested that was received by other sectors;
 b. The level of budget disbursement, by funding source and type of intervention for the overall funding;
 c. The share of EiE expenditure versus total education expenditures (development and humanitarian) by funding source (government, donors);
 d. The level of government funding versus donor funding to assess the level of external resource dependency and sustainability;
 e. The level of EiE funding by nature of spending (recurrent and capital) and level of education, by funding source to assess major focus of interventions and possible under-financing of certain important expenditures;
 f. The level of EiE funding, by geographical areas and by funding source to assess equity and targeting issues in EiE funding, and potential complementarity between public and donor financing; and
 g. Emergency spending per pupil (unit cost) for each affected region/district.

EXAMPLE 12.32

(EiE Funding): Humanitarian Funding for Education: A Concentration of Support in Favor of the Eastern Provinces in DRC, 2012

Source: Adapted and translated from the DRC ESA, 2014

Humanitarian funding in DRC comes from two main sources: direct contributions from donors to agencies or NGOs participating in the Humanitarian Action Plan (HAP), and contributions to the Pooled Fund (the Common Humanitarian Fund – CHF) that finances the implementation of the HAP. Other common funds, pooled through the Central Emergency Response Fund (CERF) and the Emergency Response Fund (ERF), are comparatively minor.

Findings:

Of the US$718 million initially requested to finance the 2012 HAP interventions, revised mid-term to US$791 million, approximately US$452 million were made available, or 57 percent of initial requirements.

Public education expenditure remains modest in DRC, at about 15 percent of total public funding in 2012, 93 percent of which covers wages. Of the US$452 million of total humanitarian funding received in the same year, only US$17 million went to the education sector, representing 3.8 percent of total

humanitarian funding. This amount is well below the initial call for US$69 million, and corresponds to the lowest funding rate, according to OCHA. Of the US$17 million available for the sector, US$5.9 million – roughly one-third (35 percent) – comes from the Pooled Fund, of which nearly 40 percent was used to support projects in Sud-Kivu, 25 percent in Nord-Kivu, 10 percent in Equateur and 6 percent in Katanga.

While the province of Nord-Kivu is more vulnerable to armed conflicts and natural disasters (volcanic eruption), it has received less funding than Sud-Kivu, as is the case for humanitarian support. This situation could be explained by the recurrent insecurity in Nord-Kivu, which could have limited the assistance and thus the level of investments. Moreover, the regular displacement of population from Nord-Kivu to Sud-Kivu attracts part of the humanitarian aid to Sud-Kivu, where the displaced are ultimately located.

It is interesting to complement this quantitative analysis of EiE funding with a more qualitative analysis in order to provide a comprehensive overview of EiE financial resource mobilization and assess potential room for improvement. Some possible (non- exhaustive) questions are provided below:

- *Do the ESP, national education sector budget and/or humanitarian/refugee response plan include the cost and financing of safety, resilience and social cohesion, and emergency preparedness activities?*
- *Has an analysis of the costs of mitigation or response to conflict or disasters been carried out within the overall budgetary framework?*
- *Can the MoE rely on other sources of national funding (e.g. presidential cabinet or national body for disaster management) in emergency situations?*
- *Do regions that are exposed to emergency situations have specific pre-positioned funds for emergency preparedness and response plans?*
- *Does the MoE provide funds to ensure the ongoing safety and maintenance of school facilities?*
- *Does the MoE allocate funds to schools for safety, resilience and social cohesion activities?*

In particular, in reviewing the above, the issue of funding predictability and sustainability should be appraised. Many crisis-affected countries suffer from a succession of short-term funding projects, meaning that education stops, resumes, and then stops again, achieving limited results, as earlier participants have moved on. The response of the international community is often criticized as being too focused on short-term crisis response, and too little on medium- to long-term reconstruction, building resilient systems.

39 See also Smith, 2014 and Smith, 2010.

40 See: https://jo-moe.openemis.org/data/generaloverview/index.html

41 See: http://wos-education.org/uploads/guidelines_and_tools/Syria_Crisis_Education_IM_Package.pdf

42 UNICEF's "Guide to Conflict Analysis" and USAID's Rapid Education Risk Analysis (RERA) Toolkit both provide helpful tools for participatory research, including guiding questions, a stakeholder analysis worksheet, and a guide for engaging adolescents, for the former (UNICEF, 2016), and a key informants and focus group participants matrix, a school community review scoring sheet, a conflict sensitivity checklist for participatory research, and a school community fieldwork framework with guiding questions for KIIs and FGDs, with discussion protocols, question sets, and ethical guidelines and considerations to ensure data quality, for the latter (USAID, undated).

43 Further information is available at: http://www.inform-index.org/

44 See for instance: http://www.inform-index.org/Subnational/Niger

45 See: https://ucdp.uu.se/#/

46 For further information, see: https://www.acleddata.com/

47 For more details, see: https://www.humanitarianresponse.info/en/programme-cycle/space/document/humanitarian-needs-overview-guidance-and-templates-updated-august-0

48 UNICEF's "Guide to Conflict Analysis" provides practical advice, illustrative examples and tools, such as guiding questions, a stakeholder analysis worksheet and a guide for engaging adolescents, among others (UNICEF, 2016).

49 See also, from MIT: http://web.mit.edu/urbanupgrading/upgrading/issues-tools/tools/problem-tree.html

50 See GCPEA website here: http://www.protectingeducation.org/

51 See for example the Heckman Equation: https://heckmanequation.org/resource/the-heckman-equation/ and Ponguta *et. al*, 2018.

52 See: http://afrobarometer.org/publications?field_publication_type_tid=437

53 Countries from all continents have initiated truth and reconciliation processes, many involving education. See Ramírez-Barat and Duthie, 2016 for a more culturally diverse set of further examples.

54 See: https://datacatalog.worldbank.org/dataset/country-policy-and-institutional-assessment

55 See: https://fragilestatesindex.org/

56 See: http://saber.worldbank.org/index.cfm?indx=8&pd=14&sub=0

57 The points in this section are mostly compiled from USAID, 2013; INEE, 2013; and IIEP-UNESCO, 2015.

58 See http://www.protectingeducation.org/guidelines/support for the list of countries having endorsed the declaration.

59 https://www.corecommitments.unicef.org/latest-covid-19-guidance

60 https://www.corecommitments.unicef.org/latest-covid-19-guidance


unicef

CHAPTER 13

FUNCTIONING AND EFFECTIVENESS OF THE EDUCATIONAL ADMINISTRATION

Chapter objective

To assess the functioning and effectiveness of an educational administration, with a particular focus on educational planning and management, as a basis to later identify strategies to enhance individual, organizational and institutional capacities for improved education service delivery.

SECTION 1. **ANALYTICAL AND CONCEPTUAL FRAMEWORK**

ISSUE

While there is a significant body of literature on what policies improve equal access to and learning in education, less attention is paid to the individual, organizational and institutional capacities needed for educational administrations to design and implement these policies. Institutions matter, as they can provide an enabling environment for positive change and be instrumental in addressing context-specific challenges and constraints.

OBJECTIVES

- Describe how the public administration works, in terms of rules and practices, roles and responsibilities, autonomy, coordination, policies and plans, civil service governance
- Appraise the effectiveness of organizational units, in terms of mandates, functions and structures, management practices, resources and accountability
- Determine the relevance of individual officers' profiles and competencies, in the light of their functions and tasks, and the existence of opportunities for professional training and incentives to improve performance
- Identify public and nongovernmental stakeholders involved in education planning and management, their roles, and information sharing, communication and coordination mechanisms with the government, as well as the nature of the relationships

METHODS

- Desk reviews, interviews, FGDs, surveys, consultative workshops, structured observation
- Process analysis
- Analyze the distribution of responsibilities and mandates among units and organizations, and coordination between them
- Verify the existence and ownership of national development plans
- Analyze personnel management policies and practices, including supervision and support mechanisms and tools
- Review internal and external communication mechanisms
- Compare the availability of human, material and information resources at different levels, with needs
- Where job descriptions exist, compare them with unit requirements, tasks actually performed, training provided and officer profiles

SOURCES

- Official documents, laws, decrees; past and present organizational charts, job descriptions, vacancy announcements
- Policy documents, national development plans, vision statements, education policies and plans, JSR reports
- Sector analyses or audits, by national or international bodies
- Reports of staff meetings, minutes of bilateral or coordination meetings
- Staff profiles, training, professional development plans, performance evaluations
- KII with past and present policymakers and high- and mid-level managers, of education, finance, civil service ministries; researchers, developing partner representatives, training institute managers, HR officers; civil society, NGO and religious group representatives.

Introduction

This chapter proposes a methodology and practical guidance on how to assess the functioning and the effectiveness of an educational administration, with a particular focus on educational planning and management. Such an assessment can help assess the capacity and behavior of organizations and identify strategies to improve the way in which an educational administration fulfills its mandate. The methodology described in this chapter is inspired by an increasing interest in understanding why institutions matter and how they can provide an enabling environment for positive change and development. The analysis of educational administrations and their specific role in educational planning and management remains underdeveloped. This chapter seeks to address this gap. The methodology presented is based on a series of institutional analyses undertaken by IIEP-UNESCO in West Africa (Benin, Guinea and Sierra Leone), Eastern and Southern Africa (Chad, Comoros, Ethiopia, Madagascar, Tanzania Mainland and Zanzibar), Haiti and Vietnam between 2008 and 2020.

The Need for an Institutional Analysis

Educational administrations are tasked with responding to the many challenges education systems face. These include identifying and implementing policies that can improve the system's efficiency and effectiveness. While there is a significant body of literature on what works to improve equal access to and learning in education, less attention is paid to the individual, organizational and institutional capacity needed for educational administrations to design and implement educational policies.[61]

In this context, an institutional analysis is the first step to improve the educational administration's performance by identifying context-specific challenges and constraints. It does so by analyzing the functioning of an educational administration in the areas of strategic planning, policy design and implementation, management of information systems, human resource management, and financial management. An institutional analysis may be conducted as an integral part of a sector analysis or as a stand-alone exercise. An institutional analysis is mainly concerned with the educational administration, which refers to the public bodies (ministries, departments and agencies) responsible for the planning and management of the education system at the central and decentralized levels. It aims to gauge the effectiveness of the educational administration, by examining if the educational administration is fulfilling the functions and obtaining the outputs it has defined. An institutional analysis asks education administration staff and other informed actors to

identify what they consider to be constraints on the administration's effectiveness. This includes an analysis of the administration's attention to creating an inclusive and diversified organizational environment, at all levels of the education system. The focus on planning and management is justified because these are the functions that are central in the design and implementation of policies and plans. However, the same methodology can be applied to assess challenges and opportunities in other domains. The intensity with which decentralized levels are examined in the analysis depends on their involvement in educational planning and management and can vary according to the respective context.

Overall, an institutional analysis is guided by the following core questions:

- *Which key functions in educational planning and management does the educational administration perform?*
- *How effectively does it perform these key functions?*
- *How can its performance be explained?*
- *Which key functions are under- or not performed, and why?*

Beyond these core questions, the specific methodological design and implementation of an institutional analysis strongly depends on the individual country being analyzed. Attention to a country's historical, economic, social, and political context, its political economy and the distribution of power is crucial to understand root causes and contributing factors to why a public (educational) administration may not be efficient. Even if education administration staff cannot address some of these root causes, their identification is essential to ensure that the strategies aimed at improving the functioning of the administration are relevant and feasible. In these contexts, it is indispensable to combine an institutional analysis with other analytical tools, such as the mapping of stakeholders and review of attitudes towards reform presented in Chapter 14.

This chapter suggests an analytical framework with which the complex functioning of an administration can be broken down into tangible building blocks. In Section 1, each level of the analytical framework – administration, units, individuals, partners – is outlined in a more detailed manner. A short description is given of the relevance of each level for the functioning of the educational administration. The description is complemented by the specific objectives of the analysis of each level and by an initial overview of key sources that may inform this analysis.

The chapter also provides advice on methods and practical tools (Section 2) to help undertake the analysis. These methods and tools were used in past analyses from across a spectrum of contexts. They include least developed countries and fast growing economies; systems that have recently made significant improvements as well as some recognized as "failing"; federal and centralized systems; and countries with different administrative traditions They were found to be useful to better understand the major barriers to effective educational planning and management.

Ultimately, an institutional analysis is meant to serve as basis for tangible suggestions on how to address identified weaknesses in the functioning of an educational administration. The range of potential strategies can be wide, including public management reforms and capacity development programs embedded in education sector plans (ESPs). However, each strategy should take the context as starting point to ensure its potential to facilitate change. The process of translating the results of an analysis into concrete recommendations for change is not described in this chapter.

SECTION 1

Analytical and Conceptual Framework

The analytical framework is meant to facilitate the understanding of how an educational administration works. An institutional analysis can use different analytical frameworks, and a variety of approaches are proposed in the literature[62]. The design of the framework depends on the purpose of the analysis. The long-term goal of the institutional analysis presented in this chapter is to provide the basis for capacity development interventions that will improve the functioning of the educational administration. In order to develop targeted and useful capacity development programs, it is important to be able to locate where challenges and good practices reside.

This chapter therefore suggests a framework that distinguishes between different levels of activity that are known to have an impact on the functioning and performance of the public administration:

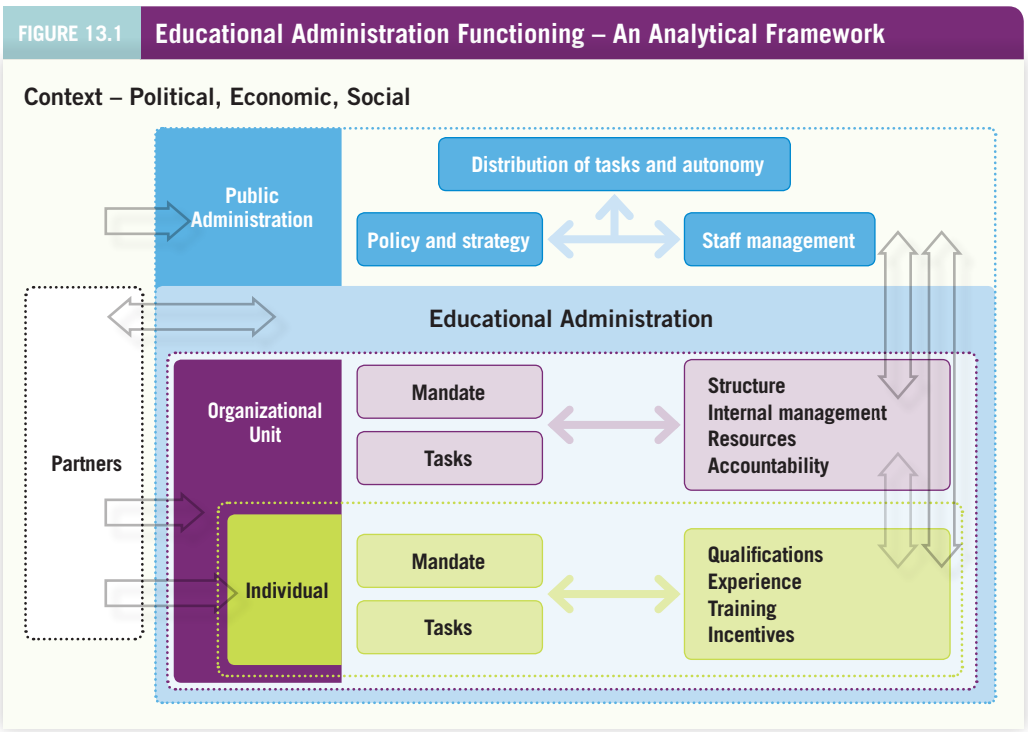
- *The profile of the individual members of staff* (including their training and incentive structures) compared to their roles and tasks;
- *The effectiveness of the organizational units that make up the administration* (this relates, among other things, to their mandate, their structure and their internal management);
- *The characteristics of the public administration*, and in particular of the management of the civil service;
- *The quality of the relationships that the educational administration and the public administration develop with external stakeholders*, national and international, that have important roles in the planning and management of the education sector.

The analysis of each of these levels pays attention to how the social, economic and political context influences that level. This includes a view on attitudes and practices in regard to gender equality. An institutional analysis as proposed in this chapter, therefore doesn't provide a separate context analysis but applies a systematic contextual understanding to the questions asked.

The analytical framework distinguishes between the different levels of capacity that influence an educational administration. As such, it allows a broad examination of capacity constraints at a particular level, while simultaneously analyzing the interplay between different capacity levels.

The separation of the levels in this chapter should be seen as a theoretical separation only. In practice, all levels overlap to various degrees: each organizational unit is made up of individual officers, all units are part of the public administration, etc. The analytical framework is therefore best used as a theoretical framework that allows the structuring of the findings of the analysis. While the manifestation of a problem may be situated at the individual level, for example, its root causes may reside at the larger level of the public administration or context, and aspects of a unit's management may contribute to its perpetuation. The presentation of various country examples seeks to demonstrate both the links between the different analytical levels, as well as the clarity that is added by their analytical separation. Figure 13.1 offers a visual presentation of this analytical framework.

FIGURE 13.1 Educational Administration Functioning – An Analytical Framework



Source: Authors

During the institutional analysis, each of the four levels are approached through four sets of recurring questions:

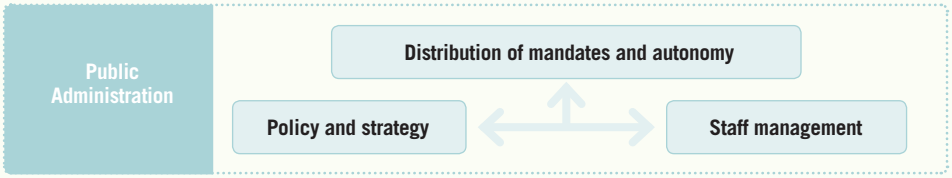
- *What are the official norms, rules, and regulations that govern the functioning of the administration?*
- *What are the actual practices, and how different are they from the official norms, rules, and regulations?*

- *What explains the possible differences between the official rules and the actual practices?*
- *What are the* opinions and perceptions of the stakeholders in the education system?

In the following paragraphs, each level of the analytical framework is elaborated. A short description is given of the relevance of each level for the functioning of the educational administration. The description is complemented by the specific objectives of the analysis of each level and by an overview of potential key sources that may inform this analysis.

1.1 Public Administration at the Central Level

FIGURE 13.2 **Public Administration Functioning – A Conceptual Overview**



The public administration of a country constitutes the institutional framework within which the educational administration is located. The rules and regulations that govern the larger administration also apply to the educational administration, and education policymakers cannot change these rules and regulations on their own. Among the various elements that characterise a country's public administration, four have a particular influence on the functioning of the educational administration:

1. The level of autonomy and the distribution of tasks between different ministries responsible for education, and between central and decentralized levels;
2. The degree and quality of coordination, collaboration and communication between an educational administration and other entities of the public administration (e.g. ministry of finance, ministry of civil service, ministry of gender);
3. The existence and active use of national and education sector-specific development policies and plans; and most importantly;
4. The management of the public service, including for instance the official rules and practices for recruitment and evaluation of public servants.

The specific objectives of the analysis at this level may include:

- Examine if, in the area of educational planning and management, there are overlaps of functions, or functions that are not well covered.
- Assess whether the distribution of responsibilities within the public administration (e.g. between different ministries, and between the central and decentralized levels), and the autonomy of each main actor allow each to carry out its main functions effectively.
- Examine if national development strategies, education policy documents, and education plans exist, and whether staff are aware of these and of their content.
- Examine the policies and practices by which staff in the public service are recruited, deployed and evaluated and how they have changed over time. This may include a rapid review of existing human resources policies to understand to what extent they are gender responsive.[63] Critical discussions with ministry staff can shed light on actual practices and where gender-responsiveness can be improved.
- Identify reforms and other historical events that have contributed to institutional change, which in turn have resulted in the improved functioning of the public administration.

The sources at this level of the analysis will include official documents, reports and reviews, and key informants. The official documents inform us on the official rules, while the reports and especially key informants provide insights into the actual situation (see Table 13.2 - Administration in Section 2 for a detailed description of potential sources and documents at this level).

Potential key informants include political decision-makers in charge of public management or the educational administration; high-level and mid-level managers of the educational administration; high-level and mid-level managers of entities on which the educational administration depends; researchers; and representatives from development partners. Ensuring a gender-balanced selection of informants is key, particularly to analyze how policies and laws, historical events and developments have impacted and continue to impact differently on work realities of women and men. Box 13.1 offers a list of sample questions relevant to the public administration level of the analytical framework, while Sections 2.2.2 and 2.2.3 offer more detailed guidance on facilitating both semi-structured interviews and focus group discussions (FGDs).

BOX 13.1 **Semi-Structured Interview Guide to Collect Information about Public Administration Functioning**

1. Analyze the distribution of responsibilities in educational planning and management within the public administration and the autonomy of the main actors

- Could you please explain the roles and missions of each administrative level in terms of planning?
- How would you assess your degree of autonomy in carrying out your mission?
- What are the different types of support you have received?

2. Verify the existence and ownership of national development strategies

- What national strategy documents do you have in your department?
- What do existing national policies state in terms of the country's position on gender equality in public administration (e.g. women's full and effective participation at all levels of decision-making in political, economic and public life)?
- In your opinion, what are the elements that are well covered in the national development strategies and what are the missing elements?
- Are/were you involved in the preparation of these documents? How are/were you involved?
- How do you use these documents in your work?

3. Analyze personnel management policies and practices within the public service

- Is there a specific status for staff working in educational planning and management?
- Are they all civil servants and if so to which category/level of public service do they belong?
- What is the staff gender balance at different levels of the Ministry of Education?
- How are planning and management staff recruited? On what criteria and according to what procedures are staff recruited?
- Does the government aim to ensure a gender-balanced workforce and if so, how (e.g. gender quota)?
- Are there human resources policies that support women and men equally to take up a position in the public service (e.g. affirmative action policy in recruitment and promotion, maternity and paternity policy, policy for staff with family responsibilities, telework policy, flexible working time, policy on sexual harassment, etc.)? How does the government monitor and evaluate gender integration in its public service?
- Is there a promotion system? On what basis? How are staff evaluated? What sanctions exist?
- Do you have a career management plan for staff working in educational planning?
- Is there a clear definition of the number of positions required in each department, with descriptions of the profiles or qualification criteria required for candidates for these positions?

EXAMPLE 13.1

(Public Administration Functioning): The Distribution of Responsibilities within the Public Administration, the Autonomy of Main Units and Institutional Effectiveness, Comoros, 2016

Source: Adapted and translated from Institutional analysis of Comoros educational administration (IIEP-UNESCO, 2016)

The Union of the Comoros consists of three main islands: Grand Comore, Mohéli and Anjouan. Following a history of political instability and the wish of the islands for more autonomy, the Constitution of 2001 established a federal political system. Each island elects its own president and the presidency of the Union rotates between them. The islands enjoy great autonomy in all political spheres including education, while the central government holds the prerogative for defense and foreign policy only.

The central ministry of education (MoE) is tasked to define the main policy goals for the education system, and coordinate and control their implementation. The education departments of the autonomous islands are in charge of all aspects of policy implementation including the planning and management of schools, staff, and budgets. The relationship between central and island level is meant to be one of cooperation, rather than hierarchy. An institutional analysis was conducted in 2016.

Findings:

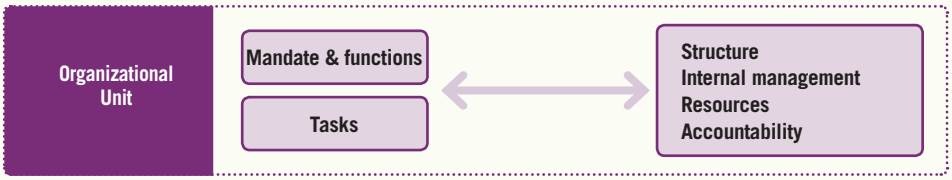
The analysis showed that there is no common vision among island-level administrations and little consensus concerning the distribution of roles and tasks between the central and the island education administrations. For example, in the light of limited technical planning capacities at island level, the central planning department tends to monopolize key tasks, which results in unmanageable workloads for the center and a lack of capacity at the island level that in turn sparks frustration among education officers at all levels. A detailed analysis of this challenge showed that the institutional architecture of the country and the actual practices have not yet been sufficiently adapted to the decentralized structures. Even though the federal constitution and an existing legal framework have been in place for many years. at the central level, key documents that describe the mandates of each unit were not updated to reflect the federal structures. At the level of the islands, no official decree exists that describes the respective mandate of an organizational unit. This translates into the creation of communication and coordination structures that are at best informal and ad hoc. As a result, the relationship between central and island level is conflict-ridden and coordination remains challenging.

Example 13.1 shows the interlinkages between the different levels of education. The lack of regulatory frameworks at the level of the public administration not only affects the coordination (for instance of data collection) at the level of the organizational unit, but also the increased workload and lack of capacity development of individual officers.

1.2 Ministries and Organizational Units

The public administration is made up of organizational units, some of which are responsible for the education system. The largest of these units is typically the MoE but the description of unit also refers to the different departments and offices that constitute the ministry, as well as any other organizational entity that has responsibilities for education at the central or decentralized levels.

FIGURE 13.3 **Organizational Unit Functioning – A Conceptual Overview**



The effectiveness of a unit depends on a range of factors, which can be grouped and analyzed under different headings:

- *The definition of the unit's mandate and main functions.* This guides external and internal actors by providing information on the unit's goals and purpose. Are these clear and are they well known by staff? Do the tasks that staff spend most time on reflect the official functions?
- *The structure of the unit.* The organizational structure must reflect the unit's mandate and functions and be sufficiently clear. It is a core element of the unit's effectiveness since it translates the mandate into operational terms. This includes organizational hierarchy which clarifies lines of authority and therefore facilitates coordination and communication between departments, and avoids duplication of tasks.
- *The internal management of the unit.* Within the same organizational structure, management practices can differ widely, and so can their impact on the motivation and effectiveness of individual officers. Aspects that should be assessed include the existence of an efficient internal communication flow and feedback loops, ensuring vertical and horizontal communication both within the unit and with other units; and the levels of coordination and collaboration between officers within the same unit. Supportive supervision is a further element of internal management, ensuring regular evaluation, consistent and transparent feedback on its results, and appropriate incentive measures.

- *The accountability of the unit.* Ideally, a unit (be it a ministry or a department) is held accountable for the proper exercise of its functions. This may be difficult when expected results are not clearly formulated or when the unit has little control over those results. Demands for accountability should result into actions, which could take the form of rewards, sanctions, or mitigating measures (such as training).
- *The availability of the necessary human, material and financial resources and relevant information.* Sufficient personnel must be available to fulfill all required tasks, and staff must have the necessary equipment and facilities at their disposal. A reliable and accessible information system is an important resource for units working in educational planning and management, as their decisions should be based on the analysis of information.

EXAMPLE 13.2

(Organizational Unit Resourcing): The Availability of Material and Human Resources within the Unit, and Comparison with the Estimated Needs, Zanzibar, 2012

Source: Adapted from Analysis of the effectiveness of the educational administration in monitoring and evaluation. Zanzibar (IIEP-UNESCO, 2012)

An institutional analysis of monitoring and evaluation (M&E) effectiveness conducted by IIEP-UNESCO in Zanzibar in 2012 devoted particular attention to the appropriate resourcing of the organizational units involved, at both the central and decentralized levels.

Findings:

The working conditions in the Ministry of Education and Vocational Training were generally found to be good. With few exceptions, officers demonstrated openness to new ideas, eagerness to upgrade their skills, good motivation, and a good spirit of cooperation. Material conditions in terms of buildings and equipment were also found to be reasonably good. This however was not the case in one of the district offices, which were examined during the institutional analysis. The general atmosphere was less encouraging, material conditions were generally poor and district officers were pessimistic about how they could improve their performance.

Interviews revealed several areas of concern. A lack of transport facilities was a major problem for district officers whose main duty is to visit schools regularly. In one of the districts, the annual report stated that only 13 out of the 31 schools had been visited at least once in the year (as compared to the norm of each school being visited at least once every three months). The use of computers also was far from ideal. Although computers were distributed widely, little use was made of them. An analysis of the training offer showed that the distribution of computers was not accompanied by a minimum training of the officers who were supposed to use them. Likewise, personnel were not trained in computer maintenance, and many computers were out of order.

The largest problem however was the lack of operational funds, due to a structural imbalance between wage and non-wage expenditures. Less than 4.5 per cent of the recurrent budget of the Ministry was available for non-wage expenditures, strongly limiting the ability of all levels to improve their material conditions and implement key activities. These funding issues at the administrative level produced heavy constraints on the management and performance of basic tasks at the level of the decentralized units. At the same time, the constraint on units had a discouraging effect on individual officers.

In the light of the above, ESA teams may find some of the following approaches to the analysis of the functioning and effectiveness of organizational units helpful, based on their contextual relevance. The specific unit or units to be examined will depend on the specific focus of the analysis. Where the focus is on educational planning and management, it will probably be the department of planning. In some cases, more than one unit may need to be examined, in particular if decentralized levels play a significant role.

The specific objectives of the analysis at this level may include:

- Identify the mandate and the functions of the unit(s) and how well they are known by staff;
- Assess to what extent the present structure reflects the unit's functions and assess the staff's knowledge of the structure;
- Assess the degree of coordination between units and specific developments that may have improved coordination;
- Examine existing formal and informal, and internal and external communication mechanisms and their effectiveness;
- Examine how staff are supervised and supported by their superiors (the regularity and the process), and assess the appreciation by staff of their effectiveness;
- Identify the support tools (e.g. guidelines, manuals) and processes (e.g. meetings) available to staff, and their use;
- Examine if and how (for which results, by which actors) units are held accountable for their performance;
- Assess the availability of material and human resources within the unit, and compare these to the estimated needs;
- Assess the availability of the information that the unit needs to accomplish its mandate, as well as the quality and use of the available information.

Again, the sources at this level of the analysis will include official documents, reports and reviews, and key informants, in order to cover the official rules as well as the actual situation (see Table 13.2 - Unit in Section 2 for a detailed description of potential sources and documents at this level).

Potential key informants include present and previous heads of unit, and former and current staff members at all levels. It is important to ensure equal gender representation when interviewing key stakeholders to better understand to what extent internal practices and attitudes take into account life conditions and opportunities of women and men. Box 13.2 offers a list of sample questions relevant to the organizational unit level of the analytical framework, while Sections 2.2.2 and 2.2.3 offer more detailed guidance on facilitating both semi-structured interviews and FGDs.

EXAMPLE 13.3

(Coordination between Organizational Units): The Effectiveness of the Educational Administration in Monitoring and Evaluation, Tanzania Mainland, 2012

Source: Adapted from Analysis of the effectiveness of the educational administration in monitoring and evaluation. Tanzania Mainland (IIEP-UNESCO, 2012b)

Within the Ministry of Education and Vocational Training (MoEVT) in Tanzania, several units and actors are involved in M&E. In addition to the Department of Policy and Planning (DPP), which holds the core mandate for M&E, each directorate has an M&E focal point. The Education Inspectorate and the Commissioner are also involved in M&E and there is a technical working group on this theme, which includes development partners. An institutional analysis was conducted by IIEP-UNESCO in 2012 to appraise the relationships between the parties involved and the effectiveness of the set-up.

Findings:

The fact that various actors undertake M&E tasks positively demonstrates the concern with M&E in the administration. However, the analysis found that the M&E practice of the educational administration was characterized by dispersed activities, duplications and a strong focus on statistical data collection with little attention given to data analysis and evaluation. As a consequence, the M&E system did not sufficiently contribute to improve education policy and planning.

Insufficient coordination between the actors listed above emerged as one of the key challenges for the implementation of effective M&E. In a survey, 61 of 63 officers agreed to the statement that "there is a need to improve M&E within my office". Although the analysis revealed that the necessary structures for coordination were in place, these structures did not function effectively for different reasons. The key task of coordinating with the M&E focal points of every division was, for example, not reflected in the mandate and structure of the DPP and therefore not conducted systematically. A second challenge that was identified was a lack of awareness of staff of the precise M&E responsibilities of their unit as well as of the goals of M&E. In the absence of an effective M&E system, development partners launched ad hoc evaluation projects that did not contribute to the long-term improvement of the M&E function (see also Example 13.5).

BOX 13.2 Semi-Structured Interview Guide to Collect Information about Organizational Units

1. Identify the mandate and the functions of the unit(s) and how well staff know these

- Could you describe the mission of your directorate/department?
- What are the texts/documents that describe this mission?
- Are these documents available within each service/division or at the individual level?
- Do you consult these documents?
- Could you show them to us?
- In the case of a new employee, how does he/she become aware of the unit's mission and his/her own function?

2. Compare the unit's missions and activities that are implemented

- What are the activities on which you spend the most time?
- Do you think these activities fit well with your mission – if so, why? If not, why not?

3. Determine if the structure meets the unit's mission

- How is your unit organized? How many services/divisions are there?
- Does this organizational structure enable the unit to carry out its missions?
- Are there overlaps between the missions of the different sub-units?

4. Analyze communication and coordination mechanisms

- Who is responsible for communication and coordination?
- How are information flows organized? Can you describe using a recent example?
- What are the different communication channels? What are the most widely used means of communication?
- What feedback mechanisms are in place to take into account past successes and failures?
- What are the communication problems you face?
- How do you coordinate your activities with those of other entities/stakeholders? What are the problems/constraints you encounter with regard to coordination?

5. Identify the supporting tools available to staff and how they are being used (e.g. guidelines, manuals)

- What documents help you plan your work (an annual work plan, for example)?
- Could you show us?
- What support do you provide to your staff in carrying out their activities and achieving set objectives?

6. Analyze how these units are held accountable and analyze internal evaluation

- Do you report to a person or to an entity on the results of your unit?
- What internal evaluation mechanisms do you use within your organization (such as use of the annual work plan for a periodic review, quarterly meeting or activity report)?

7. Assess the availability of material, financial and human resources within the unit and compare them with the estimated needs

- What material resources do you have at your disposal?
- Who is responsible for managing these resources and how do you assess them in relation to the needs of your unit?
- What are the financial resources available to you?
- How is the budget developed and did you participate in it? How do you manage financial resources?

- How many are you in the service/division?
- What profiles are available and what are the skills missing in your unit?
- Do you have any vacancies or are you overstaffed?
- Do you have a training plan or a professional development plan and does it specify the current skills and those to be acquired? What is the time and funding allocation for staff development?
- What are internal practices to ensure gender equality in regard to professional development and career advancement?

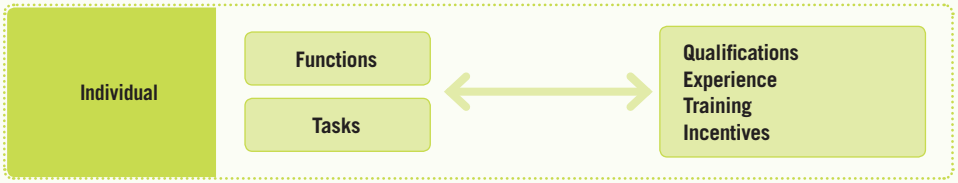
8. Assess the availability of the information the unit needs to fulfill its mandate and the quality and use of the available information

- What information do you need to do your job?
- For each, what are the sources and what are their uses?
- What are the constraints you face in obtaining this information?
- Is this information consistent, reliable and regularly updated?

Source: Authors

1.3 Individual Officers

FIGURE 13.4 Individual Officer Roles and Profiles – A Conceptual Overview



Each unit consists of a group of individuals and the effectiveness of the unit depends on the performance of these individual officers. Their performance, in turn, is the result of a range of factors. In a somewhat similar manner as for the analysis of the organizational unit (see Section 1.2) , these can be grouped under different headings:

- *The functions and tasks.* All individual staff should be aware of the official functions they are required to perform. Job descriptions, manuals of procedure, or similar documents may state these requirements clearly, to avoid uncertainty as well as individual interpretations of responsibilities, and facilitate collaboration and

coordination. It is important to assess whether these documents are known by the staff, and if there are significant discrepancies between these functions and the actual tasks that take up most time.

- *The relationship between the post and the profile.* In order to effectively occupy a post and exercise the accompanying functions, individual staff members need a specific profile. That profile is made up of a combination of qualifications, experience and training. The relevance of this profile to the functions of the post has to be examined for all essential posts. This will depend, among other things, on the recruitment and deployment practices, and on the availability of professional training.

The performance of individual officers depends, to some extent, on a range of monetary and non-monetary incentives, such as the availability and quality of professional training, working conditions and remunerations, and the support from superiors and colleagues. It will be useful to examine to what extent existing incentives lead to better performance and how this can be explained. Examining gender norms, roles and relations is key to determine access to incentives for men and women. For example, local and international practices of providing professional development opportunities should take into consideration the different situations and constraints for women and men. While incentives depend strongly on the functioning of the organizational unit, their impact is visible at the level of the individual. A dynamic analysis, i.e. using time-series data, can be helpful in understanding past good or potentially bad practices and how change came about, if applicable.

The specific objectives of the analysis at this level may include:

- Assess the existence of post descriptions and their relation with the requirements of the organizational unit;
- Examine to what extent the tasks, performed by officers, correspond to their official roles;
- Compare the profile of the officers to the requirements of the posts they occupy;
- Assess the offer of training opportunities as well as their effect on work performance, including to what extent these opportunities take into account gender norms and roles;
- Examine the incentives that impact upon the performance of individual officers;
- Understand how the elements mentioned above may have changed over time and the factors causing eventual changes, including policies and actions for gender equality.

Again, the sources at this level of the analysis will include official documents, reports and key informants (see Table 13.2 - Individual in Section 2 for a detailed description of potential sources and documents at this level). Triangulation of different data sources helps build a full picture of individual competencies.

EXAMPLE 13.4

(Individual Officer Capacities): The Profile of Education Officers Compared to the Requirements of the Posts They Occupy, Benin, 2007

Source: De Grauwe and Segniagbeto, 2009

The table below shows the distribution of management staff in the central offices of the Ministry of Education of Benin by level and by professional background, in 2007.

Findings:

At this level, over 70 percent of senior and mid-level managers have a background only in pedagogy (teachers, lecturers, school inspectors, academic advisors), and did not receive pre-service training in management and planning. Even within the planning department of the ministry, over half of the senior staff (20 out of 38) belong to the teaching cadre. Although the share of senior technical staff (economists, statisticians, planners) in the planning department is significantly higher than in the central ministry offices overall, only about a fifth have the required technical profile. As a consequence of this mismatch of profiles and requirements, managers lose legitimacy with their staff, which in turn leads to the existence of parallel and informal hierarchical structures.

TABLE 13.1 Distribution of Ministry of Education Staff, by Profile and Level, Benin, 2007

Central Ministry Staff (Excluding Regional Offices)		No.	%	Distribution of Planning Department Staff	
				No.	%
Senior Management	Teachers and equivalent profiles	177	70.2	20	52.6
	Administrative and financial officers	61	24.2	10	26.3
	Technical profiles	14	5.6	8	21.1
	Total senior managers	**252**	**100.0**	**38**	**100.0**
Middle Management	Teachers and equivalent profiles	132	75.4	7	41.2
	Administrative and financial officers	22	12.6	5	29.4
	Technical profiles	21	12.0	5	29.4
	Total middle managers	**175**	**100.0**	**17**	**100.0**

The mismatch of qualifications and requirements manifested itself during data collection among the individual officers. The causes of the mismatch however were best explained by challenges at the level of the administration and the wider context however:

- *The characteristics of the candidates (context): At the level of the country there is a lack of education planning professionals. Most candidates have experience as teachers, without specific technical skills. Others have these technical skills in fields such as economics or statistics, but without any previous experience in the field of education.*
- *The recruitment process (administration): There is no standardized recruitment procedure that includes the publication of vacancies and competitive tests or interviews. A further issue is that teaching staff are frequently appointed to management roles in the ministry as a consequence of a health-based incapacity to continue teaching, as opposed to a demonstration of management skills.*
- *The definition of posts (organizational unit): The ministry lacks a document that defines the required number of staff and their profile, including qualifications. While decrees that define the general responsibilities of departments exist, documents that describe individual job requirements had not yet been developed.*

Potential key informants include upper- and middle-management staff of the relevant units; staff from institutes or agencies providing training; and head of human resources. Balanced representation of men and women among key informants is essential to identify potential exclusion in policies and practices. Box 13.3 offers a list of sample questions relevant to the individual level of the analytical framework, while Sections 2.2.2 and 2.2.3 offer more detailed guidance on facilitating both semi-structured interviews and FGDs.

BOX 13.3 Semi-Structured Interview Guide to Collect Information about Individual Officers

1. Assess the existence of job descriptions and their clarity and use

- Do you have a job description?
- How do you know what you need to do? What are your responsibilities?
- Is there a job description for the staff in your unit?
- If there is none, are there other documents that would provide similar information?
- How do your duties differ from those of your colleagues?

2. Assess the extent to which the activities carried out by the officers are in accordance with their official duties

- What are the three main activities you carried out in the past year?
- Does your profile match the assignments you are being given?

3. Compare the profile of employees and the requirements of their positions

- What kind of training did you receive initially and on the job?
- What skills do you consider useful in carrying out your duties?
- In which areas do you need training?

4. Evaluate training opportunities and their impact on performance

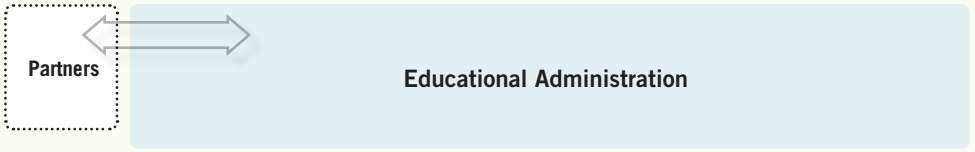
- Could you give us examples where you were able to apply what you learned in the training you received?
- What training opportunities are available to you?
- What type of training do you prefer and what effects do you think it has on your personal performance?

5. Analyze the incentives that influence the performance of individual agents

- In addition to training, what would you need to improve your performance?

1.4 The Relationship between National Authorities and their Partners

FIGURE 13.5 **Relationship between the Educational Administration and its Partners – A Conceptual Overview**



In most countries, the national authorities, especially the MoE, are the main but not the only actor in the planning and management of the education sector. The ministries of finance and civil service are important actors that define public financial management and human resource management structures, rules and regulations. Other stakeholders may include those in charge of non-public school networks, such as groups of private or religious schools, customary authorities, international development partners and NGOs. The quality of the relationships between the educational administration and these stakeholders is dependent, among other things, on their mutual understanding of their respective roles, the exchange of information, and the coordination of activities.

The specific objectives of the analysis at this level may include:

- Identify the public and non-public stakeholders involved in the planning and management of the education system, as well as their specific roles;
- Assess how well informed the educational administration and these stakeholders are about each other's roles and activities;
- Identify the ways in which information is exchanged, whether dialogue and coordination structures exist, and assess their functioning (e.g. membership, regularity, content and outputs of meetings);
- Where relevant, assess the evolution of relationships between the abovementioned stakeholders.

The sources at this level of the analysis will include formal and nonformal documents and reports, as well as key informants (see Table 13.2 - Partner in Section 2 for a detailed description of potential sources and documents at this level).

EXAMPLE 13.5 **(Institutional Relationships with Partners): The Roles of Non-Public Stakeholders in Education System Planning and Management, Tanzania Mainland, 2012**

Source: Adapted from IIEP-UNESCO, 2012b

In Tanzania, an institutional analysis of the M&E functions of the educational administration in 2012 reviewed the level of involvement of several development partners in this function, including civil society.

Findings:

While the ministry (MoEVT) recognizes M&E as a key priority and has developed good means of statistical data collection, its M&E capacity faced several key challenges. Among these were the lack of both a common understanding of the purpose of M&E and a clear distribution of mandates between different actors. The M&E function also suffered from a lack of resources in terms of both technical expertise and dedicated budget. As a result, most activities reached only the stage of monitoring, and did not enable a systematic use of data for the improvement of education policy.

Within this context, the development partners, who offered budget support to the education sector were, in cooperation with the national administration, part of seven technical working groups, one of which focused on M&E. Staff of the development partners also joined national staff for the field visits in preparation for joint sector reviews (JSRs). Where the development partners financed specific projects, they demanded progress reports and at times initiated and financed evaluation studies. Their budget support was conditional to a rating of the ministry's effectiveness by the development partners on 17 indicators, grouped in three categories: progress on agreed targets and results (weight of 60 percent), budget and financing (22 percent), and accountability (18 percent).

This rating system and strong involvement of the development partners in M&E can partly be seen as a response to a lack of such activities by the ministry itself. It was however not clear to what extent this external and detailed rating system worked as an incentive to improve the ministry's overall functioning or to strengthen any feelings of accountability. It was also noted that the evaluation framework did not include any indicators that evaluated the performance of the development partners themselves and did not cover the whole education system, but only individual, donor-financed projects. In this specific case, the role of the development partners could therefore be interpreted critically, as a substitute for what should be the ministry's own responsibility.

The civil society, which could also play a significant role in monitoring and evaluating the implementation of educational policies and plans, was not systematically involved. The same was true for the mechanism allowing parliament to request answers from the Minister of Education; this was used only in an irregular manner. This fairly limited involvement by the public highlights a core challenge, namely the lack of demand for information about the performance of the education system as a whole, which is however a prerequisite for an institutionalized and functioning M&E system.

Potential key informants include senior-level management of educational administration and other line ministries with which the ministry of education collaborates, coordinates and communicates, including the ministry of finance concerning public finance management

issues and the ministry of civil service in regards to human resource management; members of dialogue and/or coordination structures; and representatives of civil society, religious groups, development partners and NGOs. Box 13.4 is a list of sample questions relevant to the partner level of the analytical framework, while Sections 2.2.2 and 2.2.3 offer more detailed guidance on facilitating both semi-structured interviews and FGDs.

BOX 13.4 Semi-Structured Interview Guide to Collect Information about Education Partners

1. Identify the non-government actors involved in planning and their specific roles

- Who are your non-state partners and what are their specific roles and contributions to education planning and management?

2. Verify that the education administration and its partners are well informed of one another's roles and activities

- What are the different constraints in coordinating or collaborating with partners?
- How often do you meet with partners?

3. Identify existing means of exchange and collaboration and evaluate their functioning

- How do you exchange information?
- What are the constraints you face?
- In case of problems, how do you find a common solution?

SECTION 2

Methodological Considerations

There is no blueprint on how to conduct an institutional analysis. Although every analysis has the same broad objectives, the design will vary considerably depending on the specific country context. The quality and usefulness of the analysis will depend on, among other things, how well the context was taken into account. This section therefore comments on different methods that have proven crucial to institutional analyses conducted in the past. However, it does not present an exhaustive list, nor a set chronology.

Every institutional analysis needs to go through a number of steps: choosing a focus, identifying the methods, collecting the data, analyzing the data, drawing final conclusions. Often an iterative process is required to not only 'scratch the surface' but to understand root causes of why an educational administration may not function as designed. The analysis of data may lead to a request for new data and therefore additional methods and data collection exercises (e.g. choice of individuals to interview, or units to visit). Preliminary conclusions may need to be tested through the collection of new data. The findings are refined with every round of data collection.

This iterative approach also applies to the analysis of the different levels. Typically, the broader levels of the analytical framework (context, public administration) may be investigated first as they are more likely to have an influence on the lower levels (units, individuals) than vice versa. However, challenges identified at the organizational or individual level (e.g. lack of linkage between post and profile) may have root causes at the macro level, and may require the collection of new data, and a re-interpretation of preliminary findings.

The remainder of the section provides a guide on what to consider when preparing for an institutional analysis, including the importance of taking into account both political and technical issues, and guidance on collecting data within the analytical framework, as well as in accordance with the demands of the specific country case. This is followed by a detailed presentation of various data collection methods, including desk review, with a more detailed overview of the specific documents that may be relevant for each level of the analytical framework (administration, units, individuals, partners); interviews; focus group discussions; surveys; process analysis; consultative workshops; and structured observation.

2.1 Preparation of the Institutional Analysis

The preparation of the analysis of the functioning of the educational administration must pay attention to political as well as technical issues. It is an exercise that needs explicit buy-in from the political leadership (see 2.1.1) as it tends to highlight constraints that can only be overcome with such support. This support will be more easily available when there is intensive involvement by national staff in the analysis (see 2.1.2). A complex technical issue is the precise choice of the area of focus for the analysis (see 2.1.3). The planning and management of education systems includes many functions and therefore covers many units. The next sections debate each of these three issues.

2.1.1 ENSURE POLITICAL BUY-IN

The success of the institutional analysis depends on the support of key decision-makers. By identifying strengths and weaknesses of the administration's functioning, the analysis could call attention to problems that have not been addressed before and could call into question practices that have previously been tolerated. At the same time, some constraints on the educational administration may reside at the political level, and be tied to specific political interests. Without political buy-in at the highest levels, the analysis will not enjoy the necessary legitimacy to confront these interests. In addition, every institutional analysis requires time from political cadres and ministerial staff, which must be deducted from regular working hours. Without political support, it may be difficult to gain access to a sufficient number of documents, or interviewees, or to ensure reliable participation in workshops and FGDs. Gaining support entails preliminary discussions with the most senior decision-makers within the ministry of education.

It is advisable to ensure such political support at the earliest stage possible, and at key moments of the process (e.g. the choice of a focus area; the presentation of provisional conclusions), to ensure a smooth implementation of the analysis. Where changes in political leadership are frequent and entail a high turnover of key decision- makers within the educational administration, it is important to renew the political support accordingly.

2.1.2 PROMOTE NATIONAL LEADERSHIP AND PARTICIPATION

The analysis is best undertaken through a close collaboration between external experts and well-placed and well-informed national experts. These national experts are mainly staff of the ministry of education, but can include researchers, former or retired ministry staff, representatives of CSOs or development partners. The skills that each of these different participants contribute to the institutional analysis are outlined in more detail below.

The participation of ministerial staff in the core tasks of the analysis constitutes an essential component of the institutional analysis and helps to ensure its relevance to the educational administration in question. National ownership of the institutional analysis is also a measure of sustainability that can increase the impact of the exercise by promoting willingness to change and by developing the competencies of participating staff members. By being actively involved in the analysis of the administration's strengths and challenges, team members will develop a global view of necessary changes and be more likely to promote these after the analysis has been concluded. At the same time, the involvement in an institutional analysis constitutes a valuable technical exercise that contributes to the development and strengthening of the participants' skills and thereby to the overall capacities of the ministry.

Usually, a national core team is set up at the start of the analysis. This team is ideally constituted of a small number of national experts, such as present or former ministry staff, with comprehensive and intimate knowledge of the educational administration, strong analytical skills, and experience with qualitative assessments, as well as sufficient availability to carry out substantial parts of the institutional analysis. It is essential to identify a head of the national team, who will be responsible for the coordination of the analysis at national level and will be the main contact point for international experts. Given the potential sensitivity of the analysis's findings and the demands in time on ministry staff, it is recommended that the head of team have a sufficiently senior political position and authority.

The core team is usually supported by a small number of international experts, who contribute an external view, good knowledge of methodologies, and possibly a comparative perspective from previous institutional analyses. The international experts usually play a key role in guiding the institutional analysis, through a close cooperation with the core team, in particular in the determination of the analytical framework, the methodology, and the focus area of the analysis, and in the drafting of reports.

The core team may be complemented by a larger group of thematic experts, such as staff from specific units of the administration, who can be consulted, at regular moments, in relation to their thematic expertise. Researchers or representatives from civil society and development partners that have a good knowledge of the country and the educational administration may also act as thematic experts who contribute an external perspective. The thematic experts can be asked to review the full draft reports produced by the national and international core team, in order to highlight potential gaps.

A reference group, consisting of high-ranking members of the educational administration should be set up in order to guide the implementation of the analysis and to provide political validation of the findings. Members of the reference group will be requested to provide feedback on the analysis at significant moments; e.g. by validating the focus area of the analysis, approving the choice of units to be studied at central and decentralized levels, and reviewing executive summaries and key findings.

2.1.3 IDENTIFYING A FOCUS AREA

Educational planning and management work consists of a wide range of actual functions. These can be organized under different categories. Box 13.5 provides a list of key functions that are typically provided by an educational administration. A wide range of units are potentially of interest as they are all involved in planning and management functions, and may need to be examined at the central and decentralized level.

In most cases, the time and the necessary resources are not available to conduct an extensive analysis of all functions exercised by the educational administration. The focus of the institutional analysis should therefore be on one or more of those functions. Since strengths and challenges are frequently similar across functions, a focus on a limited number of well-chosen functions does not reduce the explanatory value of the overall analysis. Frequently, an increase in the number of functions that are analyzed leads to a significant increase in time, effort and cost, which is not justified by the additional insights.

The overall focus of the analysis must be determined early in the process. At times the institutional analysis may be requested for a specific function or unit of the administration, and then the choice of focus imposes itself.

If this is not the case, a focus area may be identified during the initial document analysis, conducted before a first mission takes place, and described in more detail in Section 2.2. This initial document analysis should aim also at gaining a broad overview of the educational administration. Challenges and good practices rarely reside within a single unit of the administration and are frequently tied to the dynamics of the larger sector. This exercise provides a first impression of the challenges that the administration faces, and of the goals it seeks to accomplish.

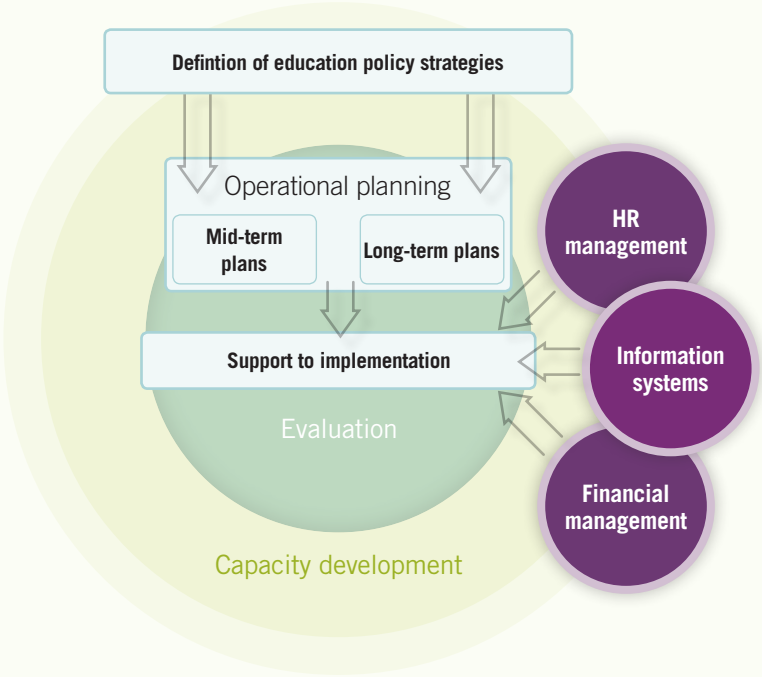
If a clear focus area does not emerge during the document analysis, it should be set at the end of a first mission during which interviews with key informants from various units are conducted (e.g. the minister, chiefs of staff, director of the planning department, director of human resources). In combination with the information collected during the document analysis, these interviews allow for identifying the units that exercise key roles in the administration, and give first impressions of strengths and challenges.

In general, it is advisable to focus on those areas that encounter the most constraints. It has also proven beneficial to analyze contrasting units in order to better understand the functioning of the educational administration. This may mean selecting two units that are experiencing different types of difficulties. As both units are working within the same political context and administrative framework, the difficulties may be different manifestations of the same challenges, or allow for the identification of additional sources of problems. Likewise, analyzing one unit that is functioning especially well and contrasting it with a unit that faces substantial challenges, may shed light on coping and adaptation strategies that other units can be encouraged to consider.

BOX 13.4 Semi-Structured Interview Guide to Collect Information about Education Partners

The central functions of an educational administration include:

- **Defining policy orientations and strategies,** supported by evidence.
- **Preparing medium- and long-term education plans, programs and projects,** on the basis of simulation models, sector diagnoses, and school maps, supported by research and data analysis.
- **Supporting and monitoring the implementation of plans, programs, projects and policies,** including the preparation of annual operational plans, and day-to-day management of activities. This function requires:
 - *Managing the human resources of the education system,* by planning teacher supply and demand, recruitment, deployment and evaluation.
 - *Managing the financial resources of the sector*, including the preparation of the budget, its procurement and execution, as well as its distribution to local offices and schools.
 - *The creation and management of information systems.* This includes the collection of statistical data and feeding it into a database, analyzing data, establishing indicators, and publishing and using them.
- **Monitoring and evaluating policy and plan implementation** based on qualitative and quantitative data.
- **Developing in-house capacity of staff in planning and management,** by conducting capacity assessments, designing and implementing professional development and training programs and evaluating their efficiency.



The decision to include the decentralized levels in the analysis depends on their importance in the successful implementation of the planning and management functions. This of course differs from country to country, though it is rare that decentralized levels play no role whatsoever. Coverage of the whole devolved administration is usually not feasible with regard to time and costs. Neither is it fully necessary: situations tend not to differ significantly between regions and districts, and much can therefore be learned from a reasoned sample. When the scoping analysis at the central level reveals that key challenges or strengths are situated at regional or local units of the educational administration, more in-depth examination of these levels is advisable. Further fruitful contrasts that may help to gain an overview of different challenges and strengths of the administration are location (i.e. analyzing an office in a rural area, in comparison with an office in an urban area), or size (i.e. analyzing a department with a low number of staff in comparison with a larger department).

2.2 Data Collection Methods, Processes and Sources

The following data collection methods and processes provide us with the most important sources of information to answer the questions asked by the analytical framework above. They inform us about all four levels: administration, unit, individual, partners.

The methods can be combined differently in accordance with the demands of the specific country case, using some more extensively than others. Not all methods will yield useful information in every situation, depending on the focus area and challenges but also on cultural differences in communication (e.g. when problems are not voiced directly, FGDs may not be the best approach to identifying challenges). The choice of methods should therefore be made after an initial scoping analysis of the functions, strengths and weaknesses of the administration. It is also probable that the initial methodology will need to be adapted as the institutional analysis progresses. It is therefore advisable to proceed in a step-by-step fashion.

Since the four levels of the institutional framework are not separate but overlap, it is not always possible or desirable to distinguish between the four levels during data collection. Data on all four levels is sometimes collected in parallel, sometimes consecutively. An interview with education officers on training offers will, for example, include questions on the individual's previous participation in trainings, on the range of training offers provided to the staff of the organizational unit and the overall staff development strategy of the ministry.

However, it should be noted that due to their broader scope, the macro levels can have more of an impact on the micro levels than vice versa; e.g. it is more likely that an individual is influenced by the organizational culture, not to mention the context, than for that culture to be impacted by an individual. To build up an understanding of the functioning of the educational administration, the analysis and presentation of the results may therefore

focus first on the general public administration system, and education's place within it. Subsequently, the analysis may cover the educational administration itself, followed by an examination of a selected set of core functions and units, before finally looking at the individuals exercising these functions.

It is recommended to triangulate data by mixing quantitative and qualitative methods and by reaching out to different stakeholders involved in the same process. Triangulation allows the capture of different dimensions of the same phenomena observed during the analysis.

2.2.1 DESK REVIEW

The document analysis is a constant companion in an institutional analysis. It provides the first, broad impression of the functioning of the education system by identifying existing findings and hypothesis of the administration's functioning. In order to understand the rules and regulations of an administration, the assessment makes extensive use of the administration's official documents, such as policies, decrees, organizational charts, and manuals, as well as of existing reports related to the functioning of the educational administration. The following list provides a sample of key documents that can provide useful information in the early stages of the analysis:

- Documentation of public sector reforms
- Documents on overall government strategy and vision
- Legislation outlining organization of the education system
- Legislation and organization charts on the structure, mandate and organization of the ministry of education at central and decentralized levels
- Current and previous ESPs
- Annual sector review reports
- Documentation of ongoing education sector reforms
- Documents on the staffing of the administration at central and decentralized levels
- Documents describing human resource management for both ministry and teaching staff
- Previous external evaluations of the administration (e.g. institutional audits)
- Public expenditure and financial accountability (PEFA) country reports, assessing public financial management performance, and public expenditure reviews
- SABER country reports
- UIS Education Data Quality Assessment Frameworks (Ed-DQAF)

Indeed, the availability or lack of such documents, as well as the ease with which they can be found, are a first indication of potential strengths and weaknesses of the administration. Table 13.2 below offers a more detailed overview of the specific documents that may be relevant for each level of the analytical framework (administration, units, individuals, partners).

TABLE 13.2 Key Data Collection Sources (Documents) for Each Level of Analysis

Level of Analysis	Key Sources (Documents)
Administration	Key documents to consult may include: (i) Official documents (such as laws and decrees) on the role of different administrative levels in the management of education, and on the management of the public service; (ii) Policy documents such as national development plans, education policies and plans, or vision statements; (iii) Reports by national or international agencies on the evolution and current functioning of the public administration (such as previous sector analyses or audits)
Units	Key documents to consult may include: (i) Past and present organizational charts of the units in the educational administration; (ii) Job descriptions; (iii) Reports from staff meetings; (iv) Inventory of guidelines, manuals, and similar documents available to staff and relevant to their functions; (v) Evaluation reports of programs and projects that the unit is responsible for
Individuals	Key documents to consult may include: (i) Official job descriptions and vacancy announcements; (ii) Data on staff profiles (qualifications, experience, pre-service training) and gender distribution across categories of profiles; (iii) Individual and ministry-level training plans and/or professional development plans; (iv) Data on participation in training and other professional development activities; (v) Records, implementation and evaluation reports of training programs and courses
Partners	Key documents to consult may include: (i) Formal or informal documents describing coordination, collaboration and communication structures between the educational administration, other line ministries, and the different stakeholders; (ii) Meeting minutes or reports that provide an idea of the relationship between the different actors; (iii) Reports from JSRs, relevant to the theme of planning and management; (iv) Reports that describe the evolution of partnerships

2.2.2 INTERVIEWS

The second core tool of an institutional analysis is the semi-structured interview (see Boxes 13.1 to 13.4 in Section 1, for a list of sample questions covering all four levels of the analytical framework). While the document analysis provides insights into official legislation, interviews give insights into actual practices, problem perceptions, hidden dynamics and larger contexts. Semi-structured interviews are carried out with a number of actors on an individual basis and with focus groups (described in more detail below). Some thought should be given to the preparation of the interview guide, making sure that questions are open, clear, and not biased, including towards gender.

The advantage of individual interviews is the possibility of going into detail and inquiring into personal perceptions which an individual may not voice within a group of peers.

All individuals listed as key informants in the description of the analytical framework (see Section 1), as well as in the description of national leadership and participation (see Section 2.1.2), are potential interviewees during an institutional analysis: senior decision-makers, staff occupying positions of authority or leadership within the departments involved in planning and management, as well as persons who have extensive experience in the public administration, and who are able to analyze developments over an extended period of time. This may include people outside of the public service; e.g. retired staff or knowledgeable and critical voices within research institutes or CSOs. By interviewing respondents belonging to different groups, information collected can be triangulated.

2.2.3 FOCUS GROUP DISCUSSIONS

During FGDs, data is also collected through a semi-structured interview with a small group of individuals (e.g. several professional staff within a planning department). The interviewer acts as the moderator and there is a clear focus on one topic (e.g. how M&E is conducted in an educational administration). Depending on the focus area, it is important to also analyze inter-ministerial relationships that are most relevant in relation to the focus area, such as in public finance management (ministry of finance) and human resource management (ministry of civil service). There are several advantages to FGDs. By bringing together several informants, a wider range of points of view can be represented, and opinions are confronted, which individual interviews cannot do. This may be especially useful at the decentralized level. The exchange between informants can also help to produce a more holistic view of a topic as individual knowledge gaps can, for example, be filled by others, or may reveal themselves as collective knowledge gaps. Disagreements may also be more easily identifiable in group discussions than by comparing individual interviews.

FGDs may also be used to test preliminary hypotheses in the analysis, which can be shared with group members prior to the discussion to allow for some reflection.

While FGDs may be very fruitful due to the interaction of several individuals, it is also possible that more constraining dynamics emerge due to the composition of the group (e.g. issues of formal or informal hierarchy, or personal relations). Some individuals may not feel at ease and not wish to voice their opinion, while others may dominate the exercise. These dynamics should be observed by the interviewer and taken into account for the interpretation of the data. It may lead to follow-up with individual stakeholders.

2.2.4 SURVEYS

Data collection methods, such as interviews and FGDs, provide concrete information on constraints and challenges experienced by education staff. However, they unavoidably

reflect the personal opinions and experience of each individual. They cannot and should not cover the whole system. Surveys can do so, as they may cover a wider range of officers, for instance all professionals in the planning department, or senior staff in all provincial offices. Precisely because they cover a large number of people, surveys do not go as much in depth as interviews. They can be used to collect factual information, and they can provide a first impression of challenges and test preliminary findings, obtained through qualitative research method. Surveys can in principle be conducted via email, phone, in person, or via questionnaires. Questionnaires (online when internet connections permit) are most habitual in the framework of an institutional analysis.

Two types of questionnaires, which have different purposes, tend to be used:

1) *Fact-based questionnaires* collect data on individual staff members, concerning their profile (age, qualifications, experience), their job descriptions and actual tasks, their participation in training activities, etc. (see Annex 13.1 for a country-specific example). Box 13.6 belo w provides a sample section of a questionnaire to identify whether tasks match the roles of officers in a unit. Some of the data, especially on officers' profile, may be available in a human resources database, and, if so, does not have to be included in the questionnaire. There may also be a ministry unit which keeps track of officers' training, but the questionnaire should go deeper and ask questions about the relevance of the training and its impact. Ideally, this questionnaire should be completed by all officials with responsibility in the focus area (e.g. all those with a core function in planning at central and decentralized levels).

2) Opinion-based questionnaires, which should be anonymous cover knowledge of official rules and regulations, as well as the subjective perception of the administration's functioning (see Annex 13.2 for a country-specific example). They concern, for example, knowledge of overall mandate; the availability and effectiveness of support structures; the existence and effectiveness of communication and coordination mechanisms; and the nature of the decision-making process within the unit. This type of questionnaire mainly helps with the analysis of the functioning of the organizational unit and it can be used to include questions on public administration and partners. This second questionnaire may be addressed to all mid- and high-level education professionals with responsibility in the focus area at central level. At decentralized levels, selected groups, districts or regions, which have contrasting characteristics, can be covered.

Questionnaires yield large amounts of data and are most relevant when addressing precise questions. The design of the questionnaire should ideally take place after a first round of data analysis and a first set of interviews, to allow a focus on core issues. Such a focus is also beneficial in terms of length, since response rate tends to decline as the length of the questionnaire increases.

BOX 13.6 Section of a Questionnaire Assessing to What Extent the Tasks Performed by Officers, Correspond to their Official Roles

Your tasks

1. ***Is there an official document such as a job description, which identifies the tasks you are expected to perform?***
 a. Yes b. No c. I don't know

2. ***If yes, what type of document is it?***

3. ***Do you find that this document is …?***
 a. Very precise b. Not very precise c. Not precise at all

4. ***Have your official tasks changed since you started working in your present post?***
 a. Yes, important changes b. Yes, but small changes only c. No

5. ***Can you identify the three tasks on which you spend most time and list them in order of importance, starting with the one taking most time?***
 Task 1.
 Task 2.
 Task 3.

6. ***Are these three tasks listed in the official document mentioned under question 2?***

	Yes	No
Task 1		
Task 2		
Task 3		

2.2.5 PROCESS ANALYSIS

A process analysis seeks to shed light on the functioning of the administration by investigating the way organizational units work in order to achieve a specific output. Its objective is to trace and illustrate the different steps used to produce a key output, to clarify why the process takes its present form, and to assess whether it is effective and efficient. This method is especially useful in situations where there is a broad lack of guidance in the educational administration because key legislation and/or manuals are missing, or where the actual

process clearly deviates from official rules and regulations. By inquiring into the individual steps of the process, this tool can help clarify the sources of blockages in a specific process, and even reach agreement among participants on how to improve the product, thereby contributing to effectiveness and efficiency. It can be beneficial to compare an efficient and an inefficient process in order to identify the elements that allow for the first to be successful within the same system in which the latter experiences difficulties.

The first step of a process analysis is the selection of a key product or output of the educational administration. This may be the preparation of the annual operational plan, the production of the national statistical yearbook, or the preparation of the yearly evaluation report of the ministry's performance. The core question of every process analysis is "Who does what, when and how?". Each actor involved, each individual step of the process, as well as its time frame and financial, technical and human resources required to undertake an action, are mapped in a matrix (see Example 13.6 below for a sample process analysis matrix). The exercise should include participants who have themselves been part of the process. Beyond the core question of a process analysis, participants should reflect on the following questions: *Which rules and instructions do actors receive? What information and tools are available? At which stage are decisions taken, who is responsible for these, and who is informed? How are the logistics organized?* Each process analysis should be led by an experienced moderator who is ideally not involved in the participants' day-to-day work.

The visual presentation of a process in a matrix of actors, actions and time frames helps to expose the functional and dysfunctional sections of a process, thereby facilitating the analysis. Issues that are exposed could be the involvement of too many actors, an inefficient back and forth between actors, lengthy actions, time gaps between actions, or a late delivery of the product.

EXAMPLE 13.6

(Process Analysis):
The Production Process of the Statistical Yearbook of Education, Comoros, 2013-14
Source: Adapted and translated from IIEP-UNESCO, 2016

During an institutional analysis of the educational administration of the Union of the Comoros, a process analysis was conducted for the production of the statistical yearbook of education. A simplified version of the resulting process matrix is presented in Table 13.3 below.

Findings:
The responsible actor for this process is the Directorate General for Education Planning and Projects (DGPEP) at the level of the central administration. It is responsible for the planning, oversight and validation of the whole process. In total, five further actors take on key tasks during the production of the yearbook: the MoE which validates the process at four moments; the Financial and Technical Partners (PTF) who provide funding and are therefore involved in the planning process; the three Decentralized Planning Directorates (DGP) which coordinate and oversee the data collection at the school level; the Education Intendance of the Autonomous Islands (CEIA), which communicates

between central and island level; and the school directors who provide the data. Over 30 steps were registered. The overall duration of the process is 13 months (from July to September of the following year) between the first planning meeting and the official publication of the yearbook.

TABLE 13.3 Chronology of the Education Statistical Yearbook Production Process, and Players, Comoros, 2013-14

Date	MEN	DGPEP	PTF	CEIA	DGP	Directors
July 2013		1. Coordination meeting - DGPEP & PTF				
08/11/13		2. Meeting - method and budget				
09/11/13		3. Tech. note and data collection request				
11/11/13	4. Secretary-General approves request					
13/11/13		5. Signed request sent to PTF				
17/11/13			6. Comments on request			
18/11/13		7. PTF's comments integrated				
25/11/13			8. Approval and budget transfer to MEN			
[...]						
14/12/13		21. Data collection tools sent to islands				
15/12/13					22. Training of directors on completing survey	
03/01/14						23. Survey completed
[...]						
15/08/14		34. Exam results included in dataset, yearbook printed				
[...]						
01/09/14	37. Official reception of yearbook					
As of 05/09/14		38. Distribution and publication of yearbook				

The detailed process analysis allowed for the identification of several challenges in the production of the yearbook:

- *While the goal of the process, the production of the statistical yearbook, was achieved, the total duration of 13 months significantly exceeded the duration of a school year. As a consequence, data is not available for real time use and planning.*
- *Although the process included all relevant actors, a lack of capacities at the decentralized levels was identified as a possible reason for the long duration of the process, requiring the central DGPEP to intervene at various occasions to ensure reliable data.*
- *At the same time, insufficient communication between centralized and decentralized levels also slowed the process down.*
- *It was found that the challenges to the process could be reduced significantly if standardized procedures were put in place and if documentation material from previous years was archived and used as guidance.*
- *The reliance on external financing was identified as a potential challenge to the continuity of yearbook productions.*

2.2.6 CONSULTATIVE WORKSHOPS

Like a FGD, a consultative workshop is meant to collect the cumulated expertise of a group of informants, and in particular to review preliminary conclusions. It is an exercise that may take between half a day and several days, depending on the amount of terrain to be covered. The advantage of a workshop is that it can include several formats such as presentations, group work and plenary discussions. Participants may include staff who took an active part in the analysis, as well as those who did not, but whose opinions and acceptance of the findings strengthen its legitimacy. The workshop also helps to raise the overall awareness of the participants to the strengths and challenges that they have identified for their educational administration. Depending on its size, a workshop can also bring together a large group for accelerated data collection.

Presentations may be used to explain the objectives of the institutional analyses, and to give an explanation of the focus area. This is especially beneficial when the focus area is rather technical and/or previous rounds of data collection have revealed knowledge gaps (e.g. what is the purpose of M&E? What are common tools for capacity development?). Group work allows for internal discussions among informants that may lead to different conclusions than FGDs where an interviewer is present. Plenary sessions may allow for discussions between actors that usually do not get the chance to discuss.

2.2.7 STRUCTURED OBSERVATION

The time frame of an institutional analysis does not allow for the systematic use of structured observations as a separate method. Nevertheless, several observations that can be made during the analysis can serve as secondary information during data analysis. When visiting offices for data collection, the researcher can gain impressions on aspects such as the availability and quality of infrastructure, the visibility of data that is on display (how recent is it?; how well is it presented?; is it relevant?), the quality of filing, the presence of staff, etc. If several units are visited a comparison between the observed situation in each can be informative. It must be kept in mind however, that these observations, if not collected systematically, do not carry the same weight as data from, for instance, interviews or questionnaires and should be considered as anecdotal information rather than evidence. They can help strengthen an argument based on other data, but cannot on their own build an argument.

61 For more information on capacity development and governance approaches, *see Without capacity there is no development* (De Grauwe, 2009); *Capacity Development: A UNDP Primer* (UNDP, 2009); and *World Development Report: Governance and the Law* (World Bank, 2017).

62 See for example UNDP's Guidance Note on Institutional and Context Analysis that discusses how political and institutional factors and processes influence the use of national and external resources (UNDP, 2012). By understanding the incentives and constraints of different actors it is hoped that development programs can be better designed to meet their respective goals.

63 Gender responsiveness goes beyond gender sensitivity. Policies that are gender responsive aim to overcome historical gender biases and promote gender equality for equal opportunities between men and women. For further information, see *A manual for gender audit facilitators* (ILO, 2012).



CHAPTER 14

STAKEHOLDER MAPPING AND PROBLEM-DRIVEN ANALYSIS

Chapter objective

To provide users[64] with the key concepts, knowledge and tools necessary to analyze the implications that stakeholder interests and relationships will have for attempts to solve specific problems in the education system.

SECTION 1. **A FRAMEWORK FOR STAKEHOLDER INCENTIVES, RELATIONSHIPS AND DYNAMICS**

ISSUE

What are the diverse stakeholders involved in ensuring quality education for all? What are their roles and responsibilities? What are their interests, as well as their relationships to each other?

OBJECTIVES

- Understand the key stakeholders involved in education systems
- Understand stakeholders' incentives, dynamics and accountability
- Understand how stakeholder incentives, dynamics and accountability shape education problems and systems

METHODS

- Apply framework inspired by the Research on Improving Systems of Education (RISE) initiative to identify key stakeholders and understand key (accountability) relationships within the education system

SOURCES

- RISE framework
- Reports commissioned by NGOs, research centers, INGOs, international donors, development agencies and multilaterals

SECTION 2. **APPLYING PROBLEM-DRIVEN ANALYSIS**

ISSUE

How to conduct a problem-driven analysis in education? What are the different steps? What tools, methodologies and sources can be used?

OBJECTIVES

- Define priority problems
- Identify immediate and proximate causes
- Analyze causal chains

METHODS

- Quantitative data analysis
- Reviews of existing literature, evidence and policies on the education system and problem
- Focus group discussions and semi-structured interviews
- "Five Whys" process
- Problem tree analysis

SOURCES

- Completed chapters of the ESA applied at country level (e.g. institutional analysis chapter)
- Citizen-led learning surveys (e.g. Annual Status of Education Report, Uwezo)
- International assessment systems (e.g. PISA, TIMSS, SACMEQ, PASEC)
- International data sources (e.g. household surveys – demographic and health survey, multiple indicator cluster survey; UIS; World Bank EdStats)
- National assessment systems
- National data sources (e.g. ministry of education, ministry of finance, national census)
- National education sector strategies and sector plans
- National education policies and vision statements
- Reports commissioned by NGOs, research centers, INGOs, international donors, development agencies and multilaterals (e.g. public expenditure tracking surveys, quantitative service delivery surveys, World Bank service delivery indicator reports, SABER, Education for All national reviews)
- Academic literature focusing on specific problem areas (e.g. rigorous evidence reviews) and specific national/sub-national contexts
- Analyses of specific problem areas published by national/sub-national authorities
- Documents on past/current education sector plans, policies or programs, focused on specific problem areas (e.g. theories of change, program documentation, evaluation reports)
- FGDs and semi-structured interviews

SECTION 3. **CONDUCTING STAKEHOLDER ANALYSIS**

ISSUE

How to conduct stakeholder analysis in education and apply this to a specific problem? What are the different steps? What tools, methodologies and sources can be used?

OBJECTIVES

- Develop expanded list of key stakeholders and their roles
- Map stakeholder interests, dynamics and accountability relationships
- Identify stakeholders with an interest in reform/preserving the status quo and whether they have the power to do so
- Identify potential reform-supporting or reform-blocking coalitions and what could mobilize or disrupt them
- Identify if and how stakeholders could be supported by external actors in making positive change

METHODS

- Reviews of existing literature, evidence and other sources
- Focus group discussions and semi-structured interviews
- Stakeholder mapping, as well as mapping of stakeholder incentives, dynamics and accountability relationships
- Political analysis
- Mapping of potential coalitions

SOURCES

- See Section 2 sources, as well as:
- National constitution and organograms of major institutions
- Media sources on specific problem areas (print, online, television, etc.)
- National assessment systems
- National development plans
- Public opinion surveys
- Sub-national education strategies

SECTION 4. **THE FINAL OUTPUT – MANAGING SENSITIVITIES AND ENSURING RELEVANCE**

ISSUE

How should the final output be presented and framed to ensure its usefulness? How can potential sensitivities regarding the information be identified and managed? How can the final output contribute to ensuring the viability of reforms included in education sector plans?

OBJECTIVES

- Ensure the output is relevant and fit-for-purpose
- Share strategies to avoid the output creating political sensitivities or challenges

METHODS

- Briefly elaborate how a solution to the problem area could be formulated, agreed and implemented (e.g. broad strategy/theory of change)
- Anonymity of interviewees and focus group participants
- Production of internal and external versions of reports to limit publication of sensitive information
- Regular re-visiting and updating of information

SOURCES

- N/A

Introduction

Ensuring quality education for all is a complicated responsibility in all countries, involving a wide range of different stakeholders and requiring a diverse set of technical tasks and processes to be carried out. These range from the level of the classroom to the highest levels of the ministry of education (MoE), and from ensuring the delivery of a lesson in a classroom on a given day to the implementation of five-year plans to ensure the development of an adequate teaching workforce. When these processes do not function as they should do, or do not produce the results intended, there is a tendency to focus on the technical challenge and to develop a technical solution to remedy it.

The development of a suitable and functional technical solution to a problem is critical, but focusing only on the immediate technical problem can lead to short-sightedness as to the importance of the broader context. Problems that are technical on the surface are often the result of deeper drivers and interactions between different stakeholders, whose interests and priorities may not align with each other or with the interests and priorities of students and broader society. In many cases, the challenge is not so much what type of policy could solve the immediate technical problem, but how the policy can be agreed and implemented successfully.

For example, the problem of persistently low learning outcomes has been the subject of numerous programs and interventions across a range of contexts – including training teachers, and changing minimum qualifications, class sizes, curricula, textbooks or salary scales, as well as introducing camera monitoring of attendance, creating school management committees (SMCs) with oversight roles, or attempts to shift to hiring contract teachers with less job security. However, often these solutions have failed to produce the right outcomes, have not been scaled up successfully, or have not functioned consistently across contexts.

The first series of solutions (training, qualifications, teaching contents or learning environment) pursue purely technical answers to a problem that encompasses larger issues such as teacher motivation. The latter series of options goes a step further, applying interventions that seek to change stakeholder motivations and behaviors by improving accountability. However, a focus on a narrow range of stakeholders (i.e. teachers) and a technical intervention approach can mean that issues that are crucial for implementation – such as contradictory incentives in the education system as a whole – are neglected and so lead to poor intervention outcomes.

The Kenyan example in Box 14.2, which discusses a pilot initiative to hire contract teachers as a solution to low teacher engagement and absenteeism, clearly shows how a combination

of stakeholder actions at different levels of the education system and deeper drivers of poor accountability and limited state capacity played a major role in the implementation of the initiative, and its impact on student learning and the future of the policy. Taking a deeper approach to problem analysis, and understanding the nature and interests of stakeholders, can help to design initiatives and approaches that are better adapted to the context of the current system.

The overall aim of this chapter is to provide users with the key concepts, knowledge and tools necessary to analyze the implications that stakeholder interests and relationships will have for attempts to solve specific problems in the education system. The approach uses a combination of *problem-driven analysis* – in the form of causal chains – and *stakeholder analysis* (including analysis of education institutions – see Chapter 13) to map the problem, its causes, as well as the stakeholders involved in the problem and their networks of interests and relationships. Box 14.1 outlines how stakeholders are defined for these purposes. The process described here is designed to be undertaken in the final stage of the education sector analysis (ESA). This will allow the user to approach the chapter with a clear idea of the priority problems within the education sector and to be able to build upon the technical analysis conducted for other chapters of the ESA.

BOX 14.1 Defining Stakeholders

A stakeholder is a person who has something to gain or lose through the outcomes of a planning process or project. Stakeholders can be organizations, groups, departments, structures, networks or individuals. For example, teachers and students are stakeholders in the education system, as their jobs and learning will be affected by any changes, as will be politicians and businesses, to the extent that their electoral or business prospects are shaped by the performance of the education system and presence of a skilled workforce. Where stakeholders are groups or organizations, it is important to note that they may have diverse or conflicting priorities within them. For example, within the education system, schools are organizations with the official purpose of providing education to children. However, within schools there are headteachers, teachers, subject departments, students, caretakers, etc., who may have a range of different priorities and functions. Similarly, a group such as teachers will include a range of individuals with different interests, motivations and skills that will lead them to respond differently to policies such as incentive pay.

Source: Adapted from ODI, 2009

Applying a framework inspired by the Research on Improving Systems of Education (RISE) initiative, Section 1 seeks to identify the key stakeholders and understand the key relationships within the education system. This includes an initial exploration of stakeholders' accountability relationships and the types of incentives and interests that motivate key stakeholders both across broad stakeholder groups and within them.

Section 2 deals with the problem-driven analysis, a tool that unpacks a clear and definable problem to understand why it occurs and how the features of the context and education system contribute to it. This involves investigating the causal chains that lead to the problem – going beyond the technical into the institutional, social and historical dynamics, as well as mapping the stakeholders who are involved in these chains (including breaking down groups and organizations). The section adopts a step-by-step guide, looked at in three stages: (i) problem identification, (ii) identifying immediate and proximate causes, and (iii) analyzing causal chains.

The in-depth analysis of stakeholder motivations and relationships in Section 3 fundamentally aims to uncover which stakeholders have an interest in preserving or changing the status quo, the power to do so, and why. The analysis will enable the user to determine if there is sufficient support from necessary actors to implement a given solution, and who its likely supporters and opponents will be. Further, where a solution is not deemed immediately viable, this section will offer guidance on how to develop a strategy or tactics to determine entry points to resolve the problems identified and leverage key stakeholders to make it so.

The user should note that there are a range of approaches to dealing with sensitive issues and information contained in the final output of this chapter, including keeping the output document for internal use only, or publishing only a summary version that avoids the most sensitive issues. Advice on how to handle these types of issues are outlined in Section 4.

The process of stakeholder analysis may be a challenging one, as it goes beyond the usual process of diagnosing technical causes to examine the role of stakeholders, interests and deeper issues of institutional, social and historical dynamics. It is important to explore these issues fully, but to do so in a manner that is productive. A considerable amount of the information necessary to conduct this chapter's analyses will be known by the user and their team on some level, or will have been collated in the process of completing other chapters of the ESA. The process outlined here will help to formalize knowledge that was previously only tacit, by interrogating the deeper causes of phenomena identified earlier in the ESA process and providing a framework for practically applying this knowledge in the process of policy formation and program design. There may also be several information gathering tasks that could be outsourced where appropriate to improve the quality of information gathered. These are clearly signposted in the body of the chapter.

The analysis emerging from this chapter therefore has considerable potential to help operationalize the information collected as part of the broader ESA process, and to provide a powerful tool for shaping an effective education sector plan (ESP). The outputs of the process can be of use in areas such as the formulation of national plans, strategies and program design – including a more nuanced understanding of the viability and risks of specific approaches; informing choice of funding and implementation partners; informing policy dialogue and deepening engagement with relevant stakeholders; and supporting program evaluation and redesign processes. Ideally the education sector problems that the ESP sets out to remedy should all be subjected to the analysis process laid out here, with

the initiatives and reforms proposed as part of the ESP then scrutinized for viability against the analysis produced.

BOX 14.2 Demonstrating Why Problem-Driven Analysis and Stakeholders Matter – The Example of Contract Teachers in Kenya

The case of scaling up a contract teacher pilot in Kenya provides an illustration of the importance of utilizing problem-driven approaches and understanding the behavior of stakeholders to successful policy implementation.

The hiring of contract teachers was proposed and piloted as a solution to low teacher engagement and absenteeism in a range of contexts – achieving success in raising test scores in several. However, there have been relatively few instances of successful scale-up.

In 2009, the government of Kenya proposed an initiative to provide funding for schools to employ contract teachers outside of the normal Teacher Service Commission (TSC) mechanism, with the aim of reducing teacher shortages and regularizing the status of existing parent-teacher association (PTA) teachers – who were informally contracted by schools. Expanding the teacher workforce in this manner was also intended to improve accountability, as previously the scale of teacher shortages and the payment of TSC teachers directly from Nairobi had reduced local willingness and capacity to discipline teachers for weak performance. The initiative covered all of Kenya's eight provinces (or 47 counties as of 2013), with implementation being conducted by both the MoE and an international NGO (World Vision Kenya).

Impact evaluation of the initiative by randomized controlled trial over 2010-2011 found a significant improvement in tests scores in treatment schools overall. However, breaking this down by implementing organizations demonstrated that almost all the improvement had come from schools where the program was implemented by the INGO and no impact was found where implementation was managed by the MoE.

Subsequent analysis found evidence of a series of challenges in the government implementation arm. The hiring process was compromised by local capture – almost two-thirds of those hired were friends of existing teachers or SMC members, double that of the INGO implementation arm. Alongside this, district-level employees of the Ministry neglected to carry out their monitoring and reporting duties under the program and local SMC monitoring did not compensate for this. In contrast, district-level NGO employees were more accountable and responsive to their superiors in Nairobi. Salary delays also occurred due to officials in Nairobi experiencing difficulties in confirming the identity or payment details of locally contracted teachers. Union activity and involvement was also associated with a reduced impact, suggesting further challenges for accountability.

In practice, these findings had little impact on the future of the initiative. Pressure from the Ministry of Finance to spend funds as part of an economic stimulus package led to the MoE scaling up before the pilot was completed. Some 18,000 teachers were hired on two-year non-renewable contracts in October 2010. Subsequently, pressure from the teachers union resulted in a decision in 2011 to allow contract teachers to unionize and guarantee that they would be hired as civil service teachers at the end of their contract, considerably altering the nature of the initiative and the accountability it was intended to build.

Throughout the process there were a range of stakeholders whose relationships and incentives played a vital role in shaping policy design and implementation, and so the final impact of the policy. Using a combination of problem-driven approaches and stakeholder mapping may help decision-makers to anticipate and avoid some of the challenges encountered in this case.

Sources: Adapted from Bold et al., 2012, 2013

SECTION 1

A Framework for Stakeholder Incentives, Relationships and Dynamics

Education is one of the key drivers of both personal prospects and national economic wealth, as well as one of the most ubiquitous government systems in most states – touching on the lives of almost all citizens. Teachers are often the most numerous type of civil servant and schools the most common form of government building, while the content, form and language of instruction has important implications for national culture. The process of providing and regulating education on this scale requires the operation and coordination of a range of institutions at different levels of government – from schools to the MoE, and from SMCs to examination boards and teacher training colleges. In addition, many of the stakeholders in the education sector will have spent many years in the education system or have children who will do so, and therefore will feel strongly about education issues.

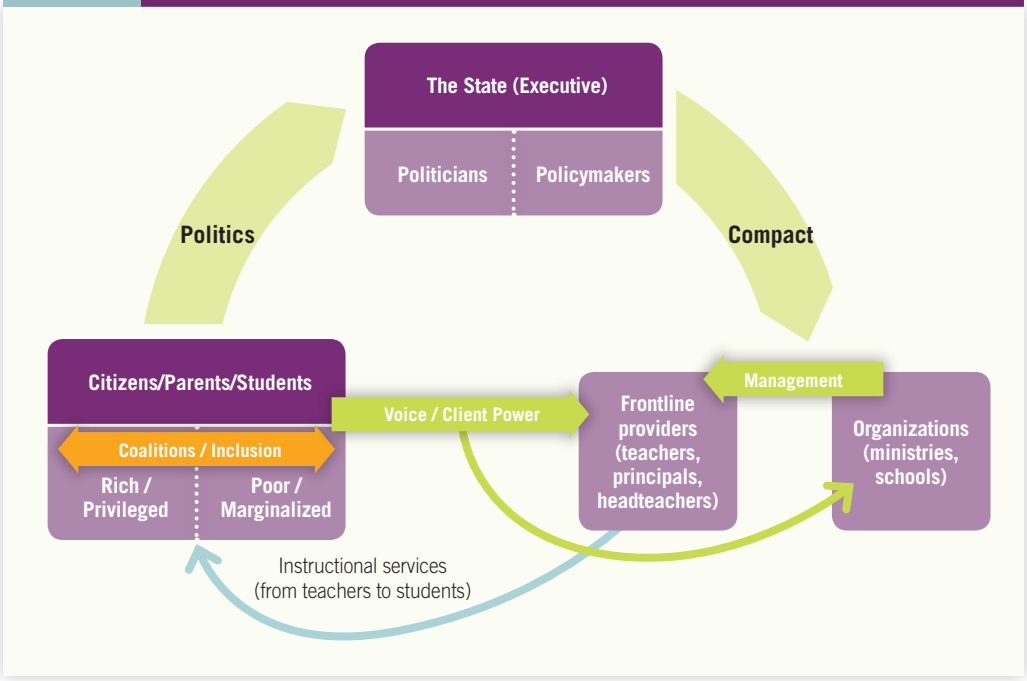
Given this, it is unsurprising that education and education systems have a wide range of stakeholders across contexts and that their interactions have important implications for how policy problems emerge and can be resolved. Making use of a framework inspired by the Research on Improving Systems of Education (RISE) initiative[65], this section aims to give a brief introduction to the most important stakeholders and institutions, the types of incentives that motivate them and the different dynamics that shape education problems and systems. These issues are then explored in greater detail in the later sections on applying a problem-driven analysis (Section 2) and conducting stakeholder analysis (Section 3).

1.1 Overview of Key Stakeholders and Their Relationships in Education Systems

It is helpful as a starting point to identify the main groups of stakeholders within the education system. Applying a framing inspired by the RISE initiative, Figure 14.1 offers an overview of the three main groups of stakeholders[66] in education systems – politicians and policymakers (the State), service providers (ministries, schools) and service users (citizens/parents/students) – and their accountability relationships towards each other.

This system outlines two main routes for accountability between service users and service providers. The first is the "short route" – service providers are directly accountable to service users due to: (i) the ability of service users to exit from poor performing providers (e.g. move schools or switch to private schooling); and (ii) the ability of service users to directly remove or discipline poor performing teachers (e.g. through SMCs, local hiring of teachers). The second is the "long route" – service providers are held accountable to politicians

FIGURE 14.1 **Outline of Accountability Relationships in Service Delivery**



Source: Adapted from Pritchett, 2015 and Pritchett, 2018

and policymakers through official monitoring, promotion and disciplinary processes, and politicians and policymakers are then held to account by service users (e.g. through elections followed by appointment of cabinet and hiring of teachers and school managers) for the performance of the service providers and the quality of education their children receive.[67]

It is important to acknowledge that there are also a range of stakeholders (here described as "others") that are not directly involved in these interactions, but that nevertheless have an interest in the outcomes of the education system and can exercise a direct or indirect influence on them. Common examples of these four types of stakeholders can be seen in Table 14.1 below.

TABLE 14.1 Examples of Common Stakeholders for Education and Education Systems

Policymakers	Service providers (Agents)	Service users*	Others*
National • National government • Ministry of finance • Political parties • MoE • National elected officials (e.g. MPs) **Sub-national** • Sub-national government (regional/local) • Regional/local elected officials (e.g. governors, mayors, councilors)	**State** • Principals & headteachers • Sub-national education officials (province/district education officers) • Teachers • Teachers unions • Examination boards • School regulation & inspection bodies • Teacher training colleges • School governors **Non-state providers** • Philanthropic • (I)NGOs • Community • Private elite • Private low fee • Private subsidized • Religious	• Parents • Households • PTAs & school committees • Students • Electorate ** Note: breakdown by location/region, child/ community characteristics, etc.*	**Civic** • Academics • Civic leaders • Civil society • (I)NGOs • Media • International development & donor agencies • Religious leaders • School-age children • Traditional & community leaders/village chiefs **Private** • Business associations • Business leaders • International businesses • National businesses ** Note: breakdown by location/region, skill needs of industry, etc.*

Source: Author

1.2 Types of Incentives and Interests that Motivate Key Stakeholders

Different stakeholders have different interests and incentives related to education outcomes and the operation of the education system, and these may vary across different contexts. Table 14.2 gives examples of some broad trends across the different stakeholder groups, which are examined in greater detail within each stakeholder group type (policymakers, service providers (agents), service users, others) in Annex 14.1.

The interaction of these stakeholders and interests in the context of different education systems, combined with the characteristics of education as a service, means that the "short route" and "long route" of accountability are complicated in practice.

TABLE 14.2 Examples of Potential Motivations and Interests for Different Stakeholders

Stakeholder group	Potential motivations/interests
Policymakers	Policymakers within the civil service (e.g. MoE) are likely to have a mixture of internal motivation (e.g. professional pride and commitment to the mission of the department) and external motivation (e.g. salary and benefits, job security, potential for promotion). Elected officials will similarly have internal motivation for the interests around education, but may also be focused on the need to secure re-election and maintain or expand their power. Whether these stakeholders concentrate on short-term (e.g. immediate re-election) or long-term priorities (e.g. national development or maintaining support in future elections) may also be crucial in determining the extent of their interest in education quality. There may also be differences in the interests and incentives of policymakers – both politicians and civil servants – at the national and sub-national level.
Service providers (agents)	Service providers, particularly teachers, are likely to have a mixture of internal motivation (e.g. professional pride) and external motivation (e.g. salary and benefits, potential for promotion, job security, working conditions). Teachers unions are often strong institutions that can mobilize their members on key issues and exert influence over policy and policymakers.
Service users	Parents are likely to be motivated by a desire to ensure their children receive an education and formal qualifications. These are based on a mixture of expectations of higher incomes and internal motivation related to education as an intrinsic good. However, there are likely to be trade-offs related to economic considerations and cultural values, particularly on issues of gender and education. Parents may also act as individuals, rather than as a group (e.g. opting for private education, or not placing a high priority on education for all children or for children from disadvantaged backgrounds).
Others	*Civic:* Motivations are likely to vary by specific stakeholder. Important elements could include the mission of organizations such as NGOs and INGOs; the desire of civic, community and traditional leaders to secure access to education and resources for their groups; and a desire from religious leaders to ensure education is aligned with the beliefs of their faith. *Private:* Businesses are likely to face a trade-off in interests between ensuring access to a skilled labor force and avoiding tax increases or the diversion of funds away from other priority areas (e.g. infrastructure). The skill composition of an industry and broader funding issues may therefore be key to the position of different stakeholders.

Source: Adapted from World Development Report, 2018

1.3 Accountability among Education Stakeholders

RISE[68] developed a framework that helps understand these routes of accountability. Four elements of accountability are inherent to each group of stakeholders when it interacts with the others:

(i) *Delegation* – you give a task to the accountable 'agent' (service provider)
(ii) *Financing* – you give the 'agent' the money to do the task
(iii) *Performance* – The 'agent' does the assigned task
(iv) *Information* – you find out how well the 'agent' has done the work
(v) *Motivation* – you reward good performance and discourage bad performance

Note that the stakeholders can be interpreted within the concept of a *principal-agent relationship*, in which both parties have rational behaviors and rational expectations but one of the stakeholders ("the agent") is able to take actions and/or make decisions that impact the other stakeholder ("principal").

Frequently, due to various factors such as those mentioned below, these elements of accountability differ among the groups of stakeholders. These stakeholder dynamics considerations are explored in more detail in Section 3.2, but key aspects include:

- Stakeholders may have conflicting interests and motivations.
- Stakeholder groups may not be homogenous and may comprise members with conflicting interests.
- Stakeholders have difficulty in monitoring the performance of other stakeholders in the education system and in attributing blame or praise for failure and success.
- There are power imbalances between different groups of stakeholders.
- Stakeholders may have delegated roles that are not coherent with their financing, information and motivation.
- Stakeholders may be in multiple accountability relationships where the other stakeholders have differing or incoherent information and powers.
- Stakeholders may be in complex and incoherent accountability relationships where they are responsible to multiple stakeholders with differing objectives.

The various stages of the problem-driven analysis and stakeholder analysis that are outlined in Sections 2 and 3 will allow the user to explore whether these dynamics are driving elements of the problem and how the user may be able to leverage the interests of different stakeholders to find and implement solutions.

SECTION 2

Applying Problem-Driven Analysis

The aim of this section is to give the user the necessary guidance to produce a problem-driven analysis focused on managing stakeholders and their interests. It will integrate guidance on how to identify a set of well-defined priority problems and their underlying causes. This will be undertaken in three stages:

- ***Stage 1:*** Defining priority problems
- ***Stage 2:*** Identifying immediate and proximate causes
- ***Stage 3:*** Analyzing causal chains

2.1 Stage 1 – Defining Priority Problems

The broader ESA process undertaken by the user and their team will have identified a number of key issues facing the education sector, as well investigated some of their technical causes. The problem-driven analysis process will take this prior analysis of the issues as its starting point. The first task is to select the main issues that the user wishes to explore further and to express these as a problem to be analyzed.

The types of issues identified in the ESA will either relate to: (i) education outcomes that need to be improved (e.g. low enrollment rates, high repetition rates, poor learning outcomes), or (ii) inputs or processes within the education system that need to be improved (e.g. teacher absenteeism, poor classroom teaching, a lack of textbooks). In practice, these two types of issues are interlinked. Problems with poor education outcomes are often caused or exacerbated by problems with inputs and/or processes within the education system, while resolving problems with these inputs and processes should result in improvements in specific education outcomes.

In most cases the ESA will already have identified both the poor outcome(s) and the problems with inputs or processes that are causing it. For this stage, the user should focus on the former, expressing the education outcome(s) in the form of a problem statement. (The problems identified with inputs and/or processes will be brought in at a later stage, when the user examines the immediate and proximate causes of the poor outcomes.) The objective of this stage is a clearly defined problem statement that focuses on one, or a small number of related, measurable education outcomes.

Some examples of poor education outcomes that might be analyzed include:

- Low learning outcomes at all levels
- Low learning outcomes at the primary level
- Worse completion rates for female students at lower and upper secondary level
- Low enrollment rates for disabled children in rural areas
- Low access and substandard quality of education in specific decentralized regions

The key data sources for this stage will include: completed chapters of the ESA applied at country level (e.g. institutional analysis chapte[69]); citizen-led learning surveys (e.g. Annual Status of Education Report, Uwezo); international assessment systems (e.g. PISA, TIMSS, SACMEQ, PASEC); international data sources (e.g. household surveys – demographic and health survey, multiple indicator cluster survey; UIS; World Bank EdStats); national assessment systems; national data sources (e.g. MoE, ministry of finance, national census); national education sector strategies and sector plans, as well as national education policies and vision statements; and reports commissioned by NGOs, research centers, INGOs, international donors, development agencies and multilaterals.

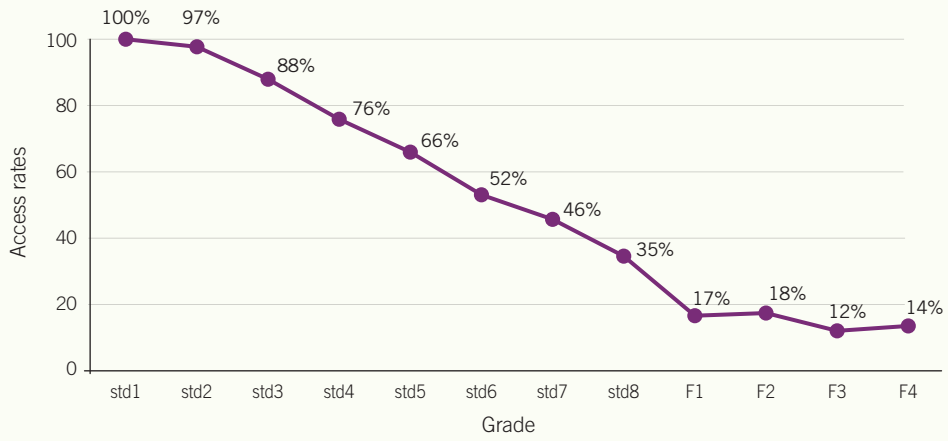
EXAMPLE 14.1

(Defining Priority Problems): Key Issues of Education Sector Performance, in terms of Primary Completion, Income-Based Disparities, and Learning Outcomes, Country X

Source: Author's elaboration, for the fictional Country X

The analysis of Country X's education system shows that, between 2004 and 2007, Country X has made great strides in access to early childhood education (an increase of 44 percent per year), adult literacy programs (19 percent per year), secondary education (5 percent per year) and higher education (4

FIGURE 14.2 Access to Successive Grades – 1 to 12 (2007), Country X



percent per year). Education in Country X has an important impact on social development, maternal and child health, knowledge of HIV and AIDS, future income and employability. However, while gross enrollment in primary education (standards 1 to 8) is 101%, primary completion is very low at 35% (see Figure 14.2 below) with very high wealth inequities (67% of the wealthiest children complete primary education vs. 23% of the poorest quintile), and the country has the weakest and second weakest results of the region for standard 6 English and Mathematics respectively. Dropout is far less in secondary education (F1 to F4).

Findings:
On the basis of the key ESA findings outlined, the main priority problems identified and retained for stakeholder analysis are:

- *Low primary education completion rates (35%)*
- *Significantly lower completion rates for poorer students at the primary level (23%)*
- *Poor learning outcomes at primary level*

Drawing on the ESA and broader policy priorities, the user should focus on the key education outcomes that they wish to improve and whether it is appropriate to narrow the focus to a specific level of education, geographic region or socio-cultural group that faces particular challenges. These challenges could be low outcomes in absolute terms or relate to equity issues, where specific groups have poor outcomes relative to other groups.

Table 14.3 outlines examples of common problem areas in terms of education outcomes. This is intended to assist the user in generating clearly defined problem statements, based on outputs from completed ESA chapters.

TABLE 14.3 Examples of Common Problem Areas Related to Education Outcomes

Broad Problem Type	Problem Areas
Access issues	• Low enrollment rates • Large numbers of out-of-school children (OOSC) • Over-age school attendance for education level • Low retention rates • Low completion rates • Low transition rates between different levels of education
Learning issues	• High repetition rates • Low literacy rates • Low graduation rates • Poor learning outcomes • Poor learning outcomes in specific subject areas

The user should be aware that these different education outcomes will be linked in practice and that this may have implications for the analysis. For example, low completion rates may be linked to high repetition rates and low retention rates; therefore, focusing on the causes of the latter two may help contribute to improving completion rates. It is also important to

bear in mind that in some cases there will be overlapping characteristics that will have implications for problem identification (e.g. disabled children in rural regions or girls from poor socioeconomic groups).

2.2 Stage 2 – Identifying Immediate and Proximate Causes

Having defined the problem area(s) that will be the focus of the problem analysis (Section 2.1), the next stages focus on interrogating these problems to identify their causes. The purpose of this exercise is to outline the range of immediate and proximate causes of the problem area and to facilitate prioritization as to which causes the problem analysis should focus on. Most education sector plans/programs and policies are unlikely to be able to address all the immediate causes and so it will be necessary to prioritize those that will receive more in-depth analysis.

Prioritization should be based on a combination of estimates of: (i) impact; (ii) cost effectiveness; and (iii) feasibility (both technical and political). The first two of these can be mapped in part based on analysis of country-specific evidence (e.g. within an ESA) and existing literature, while the latter will become more apparent through the execution of the problem analysis process.

The user should consider whether it is possible to analyze several different immediate causes and, where necessary, should repeat the full process for other immediate causes if full analysis of one cause suggests that reforms are unlikely to be successful. The user should also consider whether there are immediate causes that are *interlinked* – and so will need to be tackled in a coordinated manner, or *discrete* – and so possible to tackle individually and cumulatively. The outcome of this stage should therefore be a shortlist of immediate and proximate causes to subject to deeper problem analysis.

The key data sources for this stage will include: completed chapters of the ESA applied at country level (in particular the chapter on quality, system capacity and management[70]); academic literature focusing on specific problem areas (e.g. rigorous evidence reviews) and specific national/sub-national contexts; analyses of specific problem areas published by national/sub-national authorities; international data sources (e.g. household surveys; UIS; World Bank EdStats); national data sources (e.g. MoE, ministry of finance, national census); national education sector strategies and sector plans, as well as national education policies and vision statements; and reports commissioned by NGOs, research centers, INGOs, international donors, development agencies and multilaterals. The World Bank's SABER (see Box 14.4) is also a relevant resource for this analysis.

Specifically, the ESA process undertaken thus far by the user will identify immediate and proximate causes of poor education outcomes and so will be a key source for this stage of the

analysis. The user should anticipate that any given problem will have multiple contributing causes and should approach this task with a broad-minded perspective. A range of causes should be outlined, rather than assuming a single cause is paramount. The user should also break down the links between the cause and the outcome in an explicit manner to critically examine their assumptions and identify other contributing causes. For instance, a lack of appropriate learning materials is a cause of poor learning outcomes. However, its impact comes through being a contributing factor to poor teaching and learning in the classroom. As this, and several other factors, contribute to this factor, addressing the lack of appropriate learning materials alone may not have a strong impact.

Going through this process will improve the usefulness of this chapter's analyses in two ways. Firstly, it will ensure that the user is aware of other contributing causes that will either limit the impact of a policy aimed at one cause or will need to be tackled alongside that policy change. Secondly, if particular issues are intractable or too sensitive for a policy change to be realistic, it will allow the user to be aware of alternative approaches for making marginal improvements within the existing context.

While the process should draw largely on completed chapters of the ESA, the mapping of alternative immediate and proximate causes and the establishment of any intervening links between the cause and outcome may require some additional analysis. If this is necessary, it should be relatively brief and focus on a combination of data analysis, review of existing documents and literature, internal consultation within the ministry, and consultation with key experts and stakeholders.

EXAMPLE 14.2 **(Identifying Immediate and Proximate Causes): The Drivers of Poor Learning Outcomes, Country X**

Source: Author's elaboration, for the fictional Country X

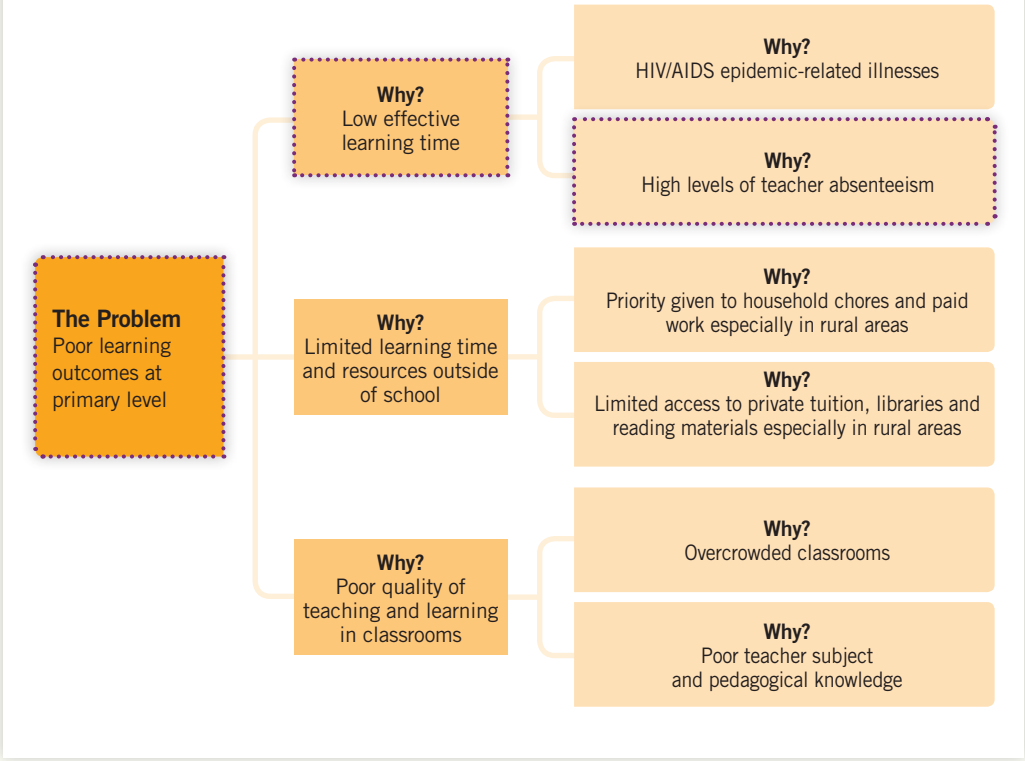
Example 14.1 identified three priority problems for the education system in Country X, including low primary completion rates, significantly lower completion rates for poorer students at the primary level, and poor learning outcomes at the primary level. Taking the example of poor learning outcomes, the ESA has identified a number of drivers of these (illustrated in Figure 14.3).

Findings:

The immediate causes of poor learning outcomes are: (i) low effective learning time; (ii) limited learning time and resources outside of the classroom; and (iii) poor quality of teaching and learning in the classroom. Furthermore, the following causal links and factors, also depicted in Figure 14.3, were identified by the ESA:

- *Pupil and teacher absences due to HIV/AIDS epidemic-related illnesses, which contributes to students having less time in the classroom learning.*
- *High levels of teacher absenteeism – averaging 20% nationally – also leading to students having less time in the classroom learning.*

FIGURE 14.3 The Immediate and Proximate Causes of Poor Learning Outcomes, Country X



- *Rising numbers of rural children from lower socioeconomic backgrounds. These students lack free time to study outside of school due to an emphasis on household chores or productive work. They also lack access to education resources outside of schools, such as libraries, reading materials or private tuition. This limits their ability to learn outside of the school environment.*
- *Classroom overcrowding is common and contributes to poor quality of teaching and learning in the classroom.*
- *There are shortages of trained teachers, meaning that many lack strong knowledge of subject areas and pedagogies. This also contributes to poor quality of teaching and learning in the classroom.*

2.3 Stage 3 – Analyzing Causal Chains

Following the identification of priority problems (Section 2.1) and immediate and proximate causes (Section 2.2), the next stage in this process is mapping the processes that contribute to the immediate causes. The aim of this stage is to produce a causal chain for each immediate cause – essentially the chain of cause and effect that links the root causes to the problem outcome. This will allow the user to identify the root causes of the problems, the stakeholders involved, and common challenges and dynamics that may contribute to multiple problems.

The information gathered during this process should allow the user to begin to identify which causes are significant contributors to the problem and to eliminate root causes that appear to be infeasible for the user or their team to address directly. The user should also be able to identify common root causes as well as the stakeholders, institutions and organizations that are involved in the causal chains – either as a result of being impacted by the problem or performing a function related to it. This will allow further prioritization of issues and enable the analysis to be focused in further in the next part of the analysis (covered in Section 3).

The key data sources for this stage will be completed chapters of the ESA applied at country level (particularly the chapter on the functioning and effectiveness of the educational administration[71]), as well as those sources drawn on for stage 2 (see Section 2.2). Similarly, the World Bank's SABER (see Box 14.4) is a relevant resource for this stage of the analysis.

Applying the "Five Whys"

The approach outlined below, known as the "five whys"[72], takes the problem and immediate causes identified earlier, and uses this as the first of several rounds of analysis to identify:

- The immediate cause(s) of the problem
 (Why is the problem happening?)
- The cause(s) of the immediate cause(s) of the problem
 (Why is the immediate cause happening?)
- The cause(s) of the cause(s) of the immediate cause(s) of the problem
 (Why is the cause of the immediate cause happening?)
- And so on, until a root cause is reached
 (Why is the previous cause happening?)

It is crucial that this process of analysis goes beyond the technical aspects of causation and highlights how the actions and inactions of stakeholders are contributing to the problem. It is not sufficient, for example, to say that teacher absenteeism – or teachers attending school but not teaching – are the result of an absence of adequate monitoring and reporting. The user must go beyond this to examine issues such as: why is monitoring not taking place and

why are education officials not held accountable for not monitoring? Why do parents choose not to report absences? Why are education officials unable to impose discipline on teachers where issues are reported?

EXAMPLE 14.3

(Analyzing Causal Chains):
The Intermediate, Proximate and Root Causes of Teacher Absenteeism, Country X
Source: Author's elaboration, for the fictional Country

Example 14.2 identified low effective learning time as an immediate cause of poor learning outcomes at the primary level in Country X (the first 'why' – or cause of the problem). It established a link between effective learning time and HIV/AIDS, which the education sector has little leverage over, and teacher absenteeism, which the sector can directly impact, based on a clear understanding of its root causes.

Findings:
The ESA highlights a range of contributing issues to teacher absenteeism, most of which are associated with poor working conditions for teachers. These include overcrowded classrooms and poor teacher training in particular.

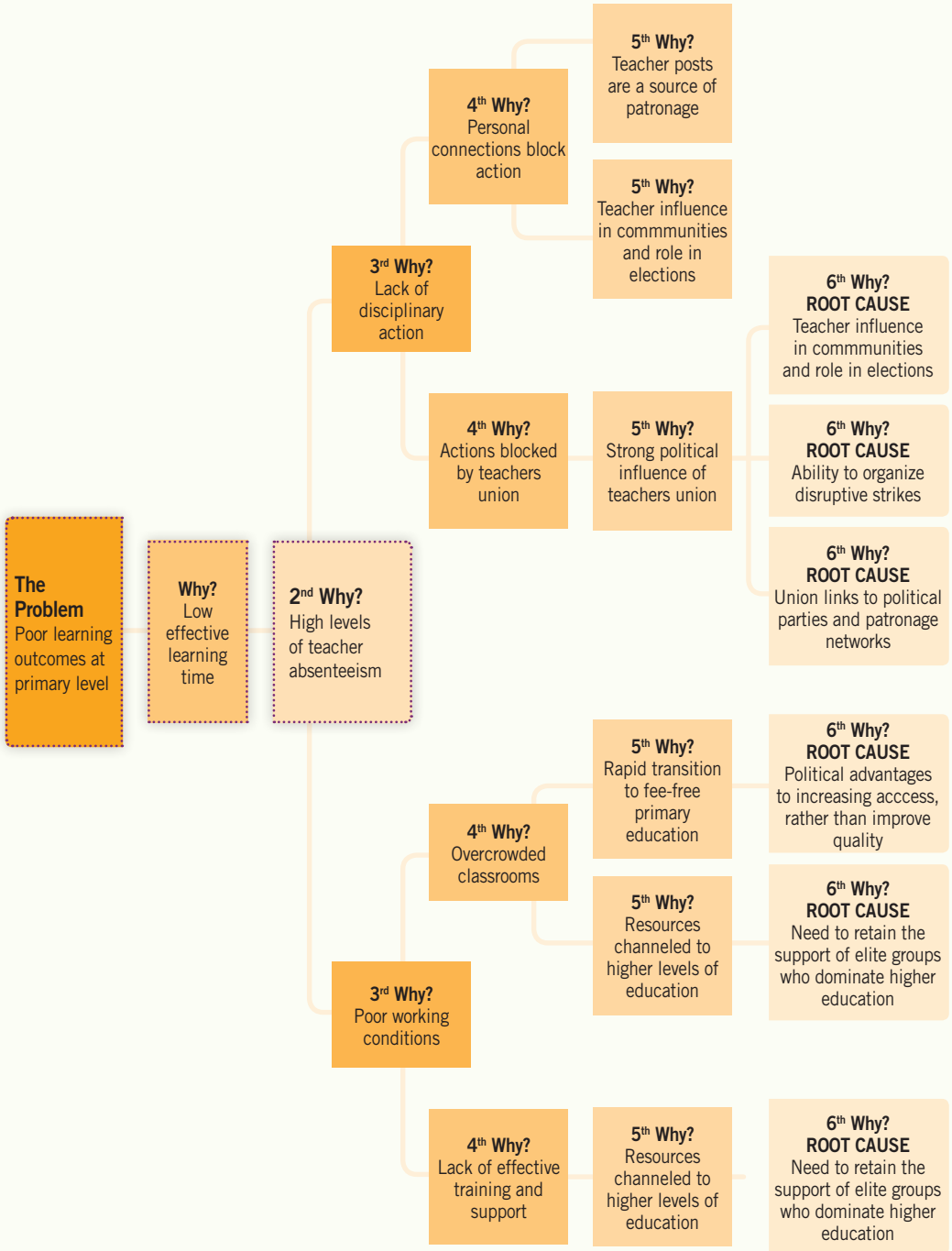
Links are drawn between these issues and several other factors:

- *The transition to fee-free primary education has led to a rise in rural students and is associated with a fall in learning outcomes overall.*
- *There are considerable inequities in pupil-teacher ratios across different regions of Country X, with starker differences observed in terms of the ratio of pupils to fully trained teachers.*
- *Public spending on education is disproportionately channeled to higher levels of education that are accessed by a relatively small proportion of the population. Public spending on primary education makes up only 32% of the total education budget, well below the regional average. Pupil-teacher ratios at the primary level are well above the regional average, while ratios for higher levels of education are well below the regional average.*

The process of analysis – drawing on a broader range of sources and interviews with key stakeholders – highlights a range of other key dynamics, including:

- *A lack of effective and credible enforcement of discipline for teacher absenteeism*
- *The presence of a well-organized and politically influential teachers union*
- *The presence of teachers with personal connections that offer protection from discipline*
- *The presence of a marketplace for teacher posts and transfers, which makes these posts a valuable source of patronage*
- *The important role that teachers play in organizing elections and the widespread perception that they have strong influence in the communities they serve, particularly in rural areas*
- *A prioritization of expanding access to primary education, which is electorally rewarding*
- *An elite focus on subsidizing higher levels of education, creating a political incentive to focus resources here to maintain their support*

FIGURE 14.4 **Analysis of the Causal Chain of High Teacher Absenteeism, Leading to Low Effective Teaching Time, Country X**



The process of problem analysis and the use of the "five whys" should draw, initially, on the previous analytical findings of the ESA, and can also play a useful role in formalizing tacit knowledge and examining assumptions held by those engaged in the process. Indeed, the completed ESA chapters will be a crucial source of information particularly in terms of mapping the technical aspects of causal chains and the roles that different institutions may play in them. However, a broader range of sources, such as those outlined earlier in this section, will also need to be used, particularly in capturing issues related to the role of different stakeholders in the causal chain.

Useful information can also be gathered by conducting the "five whys" process with officials and stakeholders at a range of different levels within the education system. This will give the user important insights into aspects of the problem not previously considered and give access to a range of perspectives on the key causal links.[73] Specifically, focus group discussions (FGDs) or interviews focused on the "five whys" should be conducted with key stakeholders, including:

- High-level civil servants within the MoE
- Middle- or low-level civil servants responsible for education delivery at the sub-national level
- Frontline service providers (i.e. headteachers and teachers)
- School communities and their leaders (e.g. parent-teacher committees, parents, community leaders, traditional authorities)
- Representatives of relevant national NGOs
- Academics and researchers
- Representatives of teachers unions
- Representatives of development partners and (I)NGOs
- Other stakeholders identified in the causal chain

The user may wish to use an external organization to conduct the "five whys" process with stakeholders. The first reason is practical – conducting the process with a range of actors is time consuming, and it may be easier for the user to leave this to professional facilitators and then simply review a summary of the findings. The second reason relates to sensitivities – it may be difficult for the user, given the relationship to (or within) the MoE, to initiate honest and open discussions with stakeholders where close, or challenging, working relationships exist (e.g. teachers unions) or with stakeholders that are subordinates and therefore potentially unwilling to be open about shortcomings. These dynamics may undermine the ability of the process to produce useful and complete information.

Regardless of whether the user chooses to outsource this task or not, it is important that a strong emphasis is placed on framing these stakeholder discussions as a neutral exercise to facilitate understanding of the problem area and to develop solutions. They should be

conducted in an open atmosphere that avoids directly attributing blame and culpability to ensure that issues are aired openly and fully. Stakeholders participating in this process should be granted anonymity – particularly if they are within the education system – with their names and locations being excluded from both the final outputs of this chapter of the country's ESA and any contributing inputs that are shared outside the team. If the task of interviewing is outsourced, the user should also consider asking the external organization not to reveal these details to the user or their team as an additional precaution (these, and other considerations around sensitivities, are discussed in more detail in Section 4).

Ideally, this process should be conducted with a mixed group of stakeholders to ensure a broad range of perspectives and benefit from the discussions that are stimulated by their interaction. However, this may be challenging in some contexts due to sensitivities regarding discussing challenges in front of more senior colleagues or supervisors. In these cases, it may be best to conduct separate processes for stakeholders for whom this is a concern and to then work with this material to build up a more complete causal chain.

It will be important for the user to triangulate the information received from the focus group processes on causal links and stakeholder relationships with information from the broader outputs of the ESA and other available sources of information. This process will allow the user to verify the information and to establish if any causes or processes have been overlooked.

While conducting this process, the user will be likely to identify a range of challenges and root causes that it will not be possible to address, given the sensitivity of the issues or the limits of the mandate that they possess. While action in these areas may not be possible, it is important that the user identify them clearly and bear them in mind at later stages of this analysis, as they will have significant implications for the effectiveness of policies and reforms targeted at other, more viable issues.

Equally, the user may identify a range of causes that have only a relatively minor impact on the problem in question. The process should not necessarily involve an in-depth analysis of all the potential factors or causes, but should focus on unpacking those causes that are perceived as having a sizeable impact in the given context. Similarly, priority may be given to root causes or issues that contribute to a range of different problem areas.

SECTION 3

Conducting Stakeholder Analysis

Once the user has identified priority problems to address, and built on the underlying causes identified to complete the analysis of causal chains (see stages 1 to 3 in Section 2), they will have an expanded list of the key stakeholders involved directly in the problem(s), as well as an understanding of the role that these stakeholders may play in causing the problem(s). In many cases, the root causes of problem areas will focus on the actions of specific stakeholders, either inside or outside of the education system.

This next stage in this analysis follows a series of steps to better understand the roles played by these different stakeholders and map the way in which institutions, interests and incentives contribute to bottlenecks and blockages. This in turn will highlight the potential for the problem to be resolved through different combinations of stakeholders and more promising entry points and approaches. This section uses to some extent the vocabulary of the RISE accountability framework described earlier in this chapter (see Section 1.1).

At the highest level, this stage aims to identify:

- Which stakeholders have an interest in preserving the status quo and the delegation (power, influence) to do so?
- Which stakeholders have an interest in change or reform, and the delegation (power, influence) to create it?
- Why do these stakeholders have the interests and influence that they do? (i.e. what are their motivations and roles?; what allows them – or their coalition of stakeholders – to make an impact?)
- How can the stakeholders be supported by external actors (e.g. national government, international development agencies, NGOs) in making positive change?

The steps necessary for this process are laid out in detailed guidance below, and include:

i. *A complete mapping of relevant stakeholders and their roles* (Section 3.1);
ii. *Mapping the nature and coherence of stakeholders' accountability relationships*, including delegation of responsibilities, finance provided for delivering these responsibilities, information on which decisions will be based, and motivators to reach the expected outcomes (Section 3.2);
iii. *Identifying potential reform-supporting and reform-blocking coalitions* (Section 3.3).

3.1 Mapping Relevant Stakeholders and Their Roles

The objective of this step is to provide a complete mapping of stakeholders that are relevant to the problem, as well as the delegation they received (their roles and responsibilities in relation to the problem and processes identified in the causal chain). The mapping of stakeholders should begin with the list of stakeholders produced by the user in the process of analyzing causal chains (see stage 3, Section 2.3). It should then be expanded through two processes:

1. The first is to undertake a process of "snowballing" – identifying who each stakeholder on the list is formally or informally accountable to (see Box 14.3) and then adding these (latter) stakeholders to the list where they are not already present. This process should be repeated until all relevant stakeholders are incorporated.
2. The second is to identify which stakeholders and institutions are responsible for setting policies or carrying out specific tasks in relation to the problem. There are a range of common stakeholders that could be considered here, including: national government; the MoE; international donors or development agencies; national/regional/local political representatives; regional/local government; regional/local education administrators; headteachers; teachers; school committees; civil society and NGOs.

BOX 14.3 Stakeholders' Formal and Informal Relationships, Roles and Responsibilities

Formal relationships, roles and responsibilities are those that are set out in the official structures, rules and procedures of how a system operates. In the education system, for example, this may operate so that teachers are answerable to headteachers, headteachers are answerable to the local education administration, the local education administration reports to the national MoE, and so on. In the political system, this may operate so that, for example, politicians are answerable to citizens through elections and to the law through judicial processes.

Informal relationships, roles and responsibilities are those that are not set out in official structures or documents, but still exist and affect performance in practice. For example, teachers unions' relationships with politicians may enable the unions to shape policymaking (e.g. via their capacity to provide or remove electoral support or conduct strike action). Similarly, politicians may be able to influence decisions made by education officials regarding teacher discipline, deployment and promotion (either directly or by proxy) through their control over other resources (e.g. budget allocations, access to training or influence over promotions/deployment at more senior levels).

Author, drawing on FCDO, 2009

As well as the (now expanded) list produced in stage 3 of the analysis, a range of additional resources can be leveraged in developing the broader mapping of stakeholders and their roles and responsibilities. However, it is important that the user recognize that this list is provisional and that additional stakeholders, as well as additional roles and responsibilities, may be identified later on in the analysis.

Additional resources for this part of the stakeholder analysis will include the knowledge of the education system possessed by the user and their team; completed chapters of the ESA (particularly the chapter on institutional analysis[74]); and national constitution and organograms of major institutions, as well as those sources drawn on for the earlier stages of this analysis (see Section 2). The World Bank's SABER (see Box 14.4) is also a relevant resource for this part of the analysis.

BOX 14.4 SABER (Systems Approach for Better Education Results)

SABER is a framework of tools, indicators and benchmarks that the World Bank has developed with its partners. Its objective is to produce comparative data and knowledge on education policies and institutions, with the aim of helping countries systematically strengthen their education systems and the ultimate goal of promoting learning for all.

Two SABER modules look at the governance of education systems in particular: SABER-School Autonomy and Accountability (SA&A), and SABER-Engaging the Private Sector (EPS).

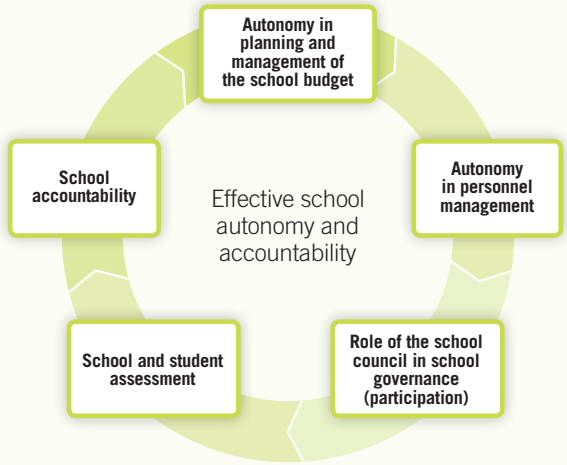
The SABER approach recognizes that the strengthening of education systems entails a reform in the accountability relationships among their various actors so that these relationships become clearer, consistent, measured, monitored and supported, and also entails establishing a feedback cycle between financing and results. Since failures of governance and accountability typically have their most severe effects on schools serving disadvantaged groups, the system approach promotes educational equity as well as efficiency.

In practice, SABER does the following: i) collects information based on policy goals, by administering a set of questionnaire surveys to key informants and gathering both qualitative and quantitative data; ii) classifies and analyzes the data collected by the questionnaire survey, using relevant frameworks; and iii) shares knowledge, by producing comparative data and related country and regional or synthesis reports that diagnose how well a given country's policies and the implementation of those policies support each specific goal, with a view toward improving learning.

1. SABER-SA&A

SABER-SA&A's objective is to help countries identify the depth and scope of their school-based management programs and policies. In particular, it measures the degree of autonomy and accountability in education system institutions, providing the stage for improving policy dialogue, planning and implementation. SABER-SA&A identified five core policy goals that are important for assessing school-based management policies.

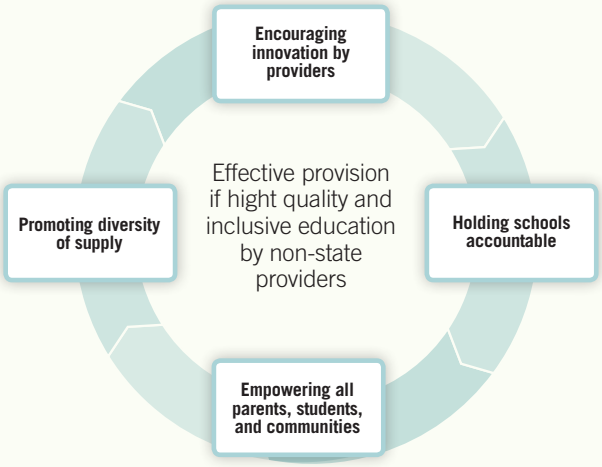
FIGURE 14.5 **SABER-SA&A: Five Core Policy Goals Key for School-Based Management**



2. SABER-EPS

SABER-EPS assesses how well country policies enable provision of high-quality and inclusive basic education services by non-state providers. It analyzes laws and regulations to identify the types of private engagement for basic education (primary and lower-secondary) that are legally established in each country, assessing the extent to which policies facilitate equitable access to and quality of education services. SABER-EPS identified four policy goals concerning strengthening accountability mechanisms between citizens, policymakers and providers for effective private sector engagement in education.

FIGURE 14.6 **SABER-EPS: Four Core Policy Goals for Private Sector Engagement in Education**



Source: Adapted from World Bank, SABER

3.2 Mapping the Nature and Coherence of Stakeholders' Accountability Relationships

Following the creation of a more comprehensive (though not yet finalized) list of relevant stakeholders, the user will need to map the network of relationships that these stakeholders are involved in and how this contributes to the problem. This will build from the mapping of accountability relationships previously conducted to generate the stakeholder list (see Section 3.1), so as to develop a more detailed understanding of who different stakeholders are answerable to regarding their different roles and the dynamics that prevent them from fulfilling these roles.

Example 14.4 illustrates a useful way in which the user can organize this information for key stakeholders and identify issues that must be addressed or worked around when devising solutions to the problem being addressed. The user should aim to complete such a table for each of the key stakeholders identified in the previous step.

EXAMPLE 14.4

(Stakeholder Mapping): The Roles, Accountability Relationships and Incentives of Stakeholders in relation to Teacher Absenteeism, Country X

Source: Author's elaboration, for the fictional Country X

The table below consolidates the information collected by the user on the key dynamics for district education officers (DEOs) in relation to the issue of teacher absenteeism. The starting point of the analysis is how the roles and responsibilities of DEOs interact with the causes identified in the causal chain analysis (see Example 14.3), information which could also be included as an additional question below. The information is drawn together from multiple sources, including interviews with DEOs and a range of other education system stakeholders and experts, as well as from existing analyses (such as preceding chapters of the Country X ESA) of both the dynamics within the education system and politics of Country X.

TABLE 14.4 Analysis of the Key Dynamics for District Education Officers in relation to Teacher Absenteeism, Country X

Key Questions for Analysis	Stakeholder: District Education Officers (DEOs)
Who is the stakeholder answerable to for different roles, both formally and informally?	**Formal:** DEOs are formally responsible to the district education board and district education board secretary, as well as the provincial education officer. These stakeholders hold DEOs responsible for monitoring the performance of schools within their remit and performing support functions, including tracking teacher attendance and initiating disciplinary processes. **Informal:** DEOs are weakly answerable to headteachers, teachers and parents at the schools within their remit for the performance of the school system.

Key Questions for Analysis	Stakeholder: District Education Officers (DEOs)
	DEOs are answerable also to the teachers union – discipline for teacher absenteeism will affect the latter's members and unions have the capacity to exert pressure through strike action, etc. DEOs are answerable also to politicians and political parties – issues around teacher absenteeism may affect teachers the latter are connected to. Politicians and political parties also have the capacity to intervene due to their influence on more senior officials who control DEO prospects for promotion and deployment.
How is performance in these roles measured or monitored?	Formal performance evaluation is based largely on the demonstration of the performance of specific functions (e.g. formal reports and records of school monitoring visits, records of approved absences, disciplinary reports) and, at the highest level, student performance in formal examinations. Performance evaluation by parents is based on a combination of their child's day-to-day experience and school examination results, but the extent to which they will attribute blame for absenteeism to teachers, headteachers or the DEO will vary. Performance evaluation by teachers and headteachers will be based on their day-to-day experience – whether teachers feel supported when they report cases, whether teachers feel that approval processes for absences and discipline are handled in a fair and effective manner, etc. Performance evaluation by the teachers union, politicians and political parties will then be based on informal reports of the actions of the DEO and the extent to which these run contrary to their interests and the interests of their members and clients ("connections").
Are there conflicts between the priorities of the different stakeholders they are answerable to?	Parents have a strong interest in ensuring that teachers who are repeatedly absent without cause are disciplined. The extent to which this is a priority will depend on whether they perceive the problem to be severe and affecting their children's learning. Provincial education officers, district education boards and their secretary have a formal interest in ensuring a well-functioning education system – including limiting teacher absenteeism and ensuring disciplinary procedures are followed. Discipline may be a low priority, however, if these officials are informally influenced by the teachers union or political parties. There are several areas where these stakeholders' interests may directly conflict: • Teachers and headteachers have a collective interest in ensuring that the system for agreeing absences and discipline is well-functioning and fair. However, individual teachers have an interest in ensuring that they are not disciplined, and teachers unions have an interest in protecting their members. • Politicians and political parties have an interest in ensuring that their teacher "connections" are not disciplined for absenteeism, particularly if the absence was due to political activities or if it will mean losing a valuable or strategic relationship. Their priorities are therefore only aligned when the teacher to be disciplined is not connected to them and if there will be no repercussions from union action.
Does the stakeholder have access to, and control of, the resources necessary to carry out their role(s)? (e.g. financing, personnel, time, training, information, context)	DEOs face a range of resource constraints in carrying out their functions, including: • Lack of sufficient personnel and vehicles for school monitoring, particularly in more remote districts; • Limited independent information on teacher attendance patterns; • Limited authority to directly discipline teachers without permission or after-the-fact approval from higher levels of the education system.

Key Questions for Analysis	Stakeholder: District Education Officers (DEOs)
Is their performance regarding different roles dependent on the actions of other stakeholders? How? (e.g. financing, personnel, time, training, information, context)	The DEOs' performance is dependent on the actions of several other stakeholders: • Ability to monitor partly dependent on finance allocation decisions made by the MoE and National Assembly; • Effectiveness of monitoring dependent on actions of subordinates; • Ability to initiate disciplinary processes depends on access to information from own monitoring, but also whether headteachers and parents decide to report teacher absenteeism to DEOs; • Effectiveness of recommendations on teacher discipline depends on actions being approved and implemented by provincial education officers, district education boards and their secretaries, and relevant sections of the MoE.
Is there evidence of collective action or coordination challenges between these different stakeholders?	• Parents and headteachers are often unwilling to report absenteeism due to concerns over potential reprisals and limited expectations of disciplinary action. • Lack of communication between DEOs and schools due to poor monitoring leads to failures to analyze and resolve legitimate causes of absenteeism.
How does the stakeholder's wellbeing depend on their performance in different role(s), both internally and external?	**Internal** – DEOs are motivated by a sense of professional pride, and a sense of duty to their communities, colleagues and subordinates (i.e. other district education officials, headteachers and teachers), as well as a sense of fairness. **External** – DEOs are motivated by securing their salaries, the potential for promotion, and the securing or retaining of a post with access to amenities for them and their families. In many cases these are unlikely to be advanced by concerted efforts to reduce absenteeism or improve teacher discipline, and are more likely to be gained through influential familial or personal connections, or facilitating (or not actively opposing) actions that will benefit well-connected teachers and officials.
Does the stakeholder have an interest in preserving the status quo or an interest in change or reform, and why?	DEOs have an ambiguous relationship with the status quo and reform. In most cases, they will be supportive of reforms that will improve their ability to fulfill their role (i.e. monitor, discipline and support their subordinates). However, their willingness to act will depend on the extent of support and encouragement they receive from stakeholders at higher levels of the education system. DEOs will need to believe that they will be rewarded for actions that improve the performance of their districts and that they will be protected from political fallout related to decisions that are opposed by locally powerful political interests (i.e. teachers unions and politicians with an interest in preventing improved discipline that would reduce their influence within the teaching workforce).

The information necessary to populate these tables and develop this part of the stakeholder analysis should come from four main sources: (i) the analysis undertaken when determining the causal chains (see Section 2.3); (ii) completed chapters of the country ESA, particularly the chapter on institutional analysis;[75] (iii) existing policy documents and analyses of the problem area, education sector and political context (e.g. academic literature focusing on specific problem areas; analyses of specific problem areas published by national/sub-national authorities; documents on past/current ESPs, policies or programs focused on specific problem areas); and (iv) semi-structured interviews and FGDs with key stakeholder groups.

While the task of mapping and analyzing evidence from the first three sources may be undertaken by the user and their team, the user may wish to use an external organization to conduct semi-structured interviews and FGDs with key stakeholder groups. As with the "five whys" process (see Section 2.3), this is based on a practical consideration of available time and a concern regarding the ability and willingness of stakeholders to openly discuss potentially sensitive issues with representatives of the MoE (as any reluctance could undermine the ability of the process to produce useful and complete information). If a decision is taken to use an external organization, then participating stakeholders should be granted anonymity and the user and their team should agree to receive only a summary of the information gathered or a redacted version that omits stakeholders' names and locations.

The key principles for conducting semi-structured interviews and FGDs with key stakeholder groups can be summarized as:[76]

- Ensure interviews are conducted with representatives of all stakeholder groups identified
- Where possible, interview stakeholders in several contrasting sub-national areas
- Focus interviews on gathering information on informal processes and challenges, with data on formal processes having already been gathered from other sources
- Triangulate and verify information across interviews with different individual and group stakeholders, as well as with other data sources where possible

Dynamics to Consider When Mapping Stakeholders

While gathering and analyzing this information, there are a range of dynamics that the user should bear in mind as potential contributors to the education problem being addressed and to broader dysfunction in the education system. Several particularly important dynamics are outlined below.[77]

Stakeholder groups may not be homogenous and may comprise members with conflicting interests. The main groups of stakeholders – service users, politicians and policymakers, and service providers – contain a range of different groups within them, whose interests may not align. For example, service providers include not only teachers but also teachers unions and a range of education officials at the local, regional and national level who link the frontline provision to the policymakers at the national level. Policymakers will include not only officials in the MoE but also (depending on the context) officials at the regional and local level. They will also include politicians and political parties that are outside the education system proper but exert influence on it. Service users are also not a single body – parents and students may belong to different ethnolinguistic and socioeconomic groups, and live in different regions and settlements. This may lead them to focus their demands on policies that will improve education provision in their own context or for their own group – rather than more universal policies that will cover the whole system and benefit all service users.

Stakeholders have difficulty in monitoring the performance of other stakeholders in the education system and in attributing blame or praise for failure and success. Policymakers cannot directly observe the actions of teachers in the classroom and are dependent on information passed to them through the education system or infrequent external assessments. The fact that education outcomes are the result not only of teacher effort but also of classroom conditions, student ability, studying outside of school and socioeconomic conditions, complicates attribution of outcomes. Service users (both students and parents) are more able to observe teaching directly, but may lack sufficient knowledge to judge education quality and the extent of student progress, or may have low expectations of teacher performance. The extent to which poor learning outcomes are due to poor teacher performance rather than children's abilities or the education system's failure to provide sufficient resources, may also be challenging to attribute. Mobilization to demand change may be challenging where service users cannot easily judge who is ultimately responsible for poor performance.

There are power imbalances between different groups of stakeholders. Some stakeholders may find it hard to take effective action, even where they have been successful in detecting and attributing poor performance. Where education systems have historically been unresponsive to complaints, parents may see little point in reporting issues. They may also be reluctant to report issues if they fear reprisals against their children. Although some may be able to exit to private schooling or supplement with private tutoring, this does not alter the challenges within the public education sector and may make it harder for other parents to mobilize (e.g. parents who exit the public sector may be more motivated and/or have additional resources/abilities to assist with mobilization). Policymakers may also find it hard to enforce discipline, particularly where there are strong teachers unions or where teachers have connections to political parties and politicians. In these circumstances, well-connected or unionized teachers may be protected from discipline by the threat of disruptive strikes or the prospect of powerful connections using their influence to damage education officials' career prospects if disciplinary action against teachers is pursued.

Stakeholders may have delegated roles that are not coherent with their financing, information and motivation. For example, the formal education system may demand that education officials act to discipline teachers for absenteeism, while informal pressures from politicians may persuade officials to rather safeguard their connections. Equally, headteachers may be expected to deliver quality education to their students, but certain conditions may not exist for them to be accountable (e.g. they may lack the necessary teachers, learning materials and working conditions to fulfill these goals, or be unable to direct funds to deliver education in an optimal way for their context).

Stakeholders may be in multiple accountability relationships where the other stakeholders have differing or incoherent information and powers.[78] For example, stakeholders might have access to different information with which to act on the issue of teachers' performance. Policymakers can act using the information they have on budget allocation and programs, but may lack comprehensive information related to teachers' actual performance in schools.

Education providers collect information on teachers, but mostly through a bureaucratic process that provides administrative information, such as (perhaps) teachers' attendance, or teacher participation in trainings. Finally, as students experience the school from day to day, they (and their parents/communities) have more information on aspects such as the time teachers spend teaching effectively in the classroom, their behavior towards the students, and how much progress is actually being made by the students. In this case the information the students/parents/communities may decide to act on to improve teacher behavior differs from the information collected by the policymakers and education providers.

Stakeholders may be in complex and incoherent accountability relationships where they are responsible to multiple stakeholders with differing objectives. As noted in previous sections of this chapter, there are important feedback relationships between the different stakeholder groups. For example, parents may be able to hold politicians to account through elections, but the capacity of politicians and political parties to allocate resources at their discretion through patron-client mechanisms allows them a degree of influence over the electorate. Similarly, teachers unions represent service providers, but can have a powerful influence over the electoral prospects of political parties and, in some cases, can influence appointments to key posts within the education bureaucracy. Teachers, students and parents also co-produce education to some extent: the performance of students is dependent not only on the actions of teachers but also parents' decisions as well as capacities in terms of ensuring their children attend school, that they have time to study at home, and that they are provided with a supportive environment (e.g. early childhood nutrition, exposure to literacy and assistance with studies). Stakeholders are therefore interlinked (often with power imbalances) in complex accountability relationships.

3.3 Identifying Potential Reform-Supporting and Reform-Blocking Coalitions

The final stage of the stakeholder analysis identifies which stakeholders have the interest and resources to resolve the problem; the different modalities of solution that they can pursue; and what coalitions of stakeholders can be built and how they may be able to overcome resistance from other stakeholder groups.

The first process will be to allocate the stakeholders to one of three groups, depending on their position on change/reform:

- *Pro-reform* – those who have motivation for reform
- *Anti-reform* – those who have motivation for maintaining the status quo
- *Mixed* – those who could be pro-reform, depending on the nature of the solution and which stakeholders it affects

The user should then proceed with analyzing the influence, incentives and ability of these different stakeholders and potential coalitions to organize around the problem area and reforms. This will draw on the analysis conducted in the previous steps, as well as broader analysis of the structures of the education system and political authority. Sources may include those mentioned earlier in this section as well as media sources on specific problem areas (print, online, television, etc.); national constitution and organograms of major institutions; national assessment systems; national development plans; sub-national education strategies and public opinion surveys.

The guidelines below outline the key information that the user should gather for different stakeholder groups, as well as for potential coalitions of stakeholders acting collectively.

Key questions for analysis of *pro-reform stakeholders*:

- Can the stakeholder resolve the problem by changing their actions alone, or do they need other stakeholders to take actions as well? Which ones?
- Does the stakeholder have incentives to change their actions? Which stakeholders can influence them to do so?
- Does the stakeholder have influence over the actions of other stakeholders regarding the problem area?
- Does the stakeholder have incentives to influence other key stakeholders to change their actions regarding the problem area?
- Collectively: Are these stakeholders able to mobilize for reform?
- Collectively: What challenges are there that prevent these stakeholders from mobilizing?
- Collectively: Are there stakeholders, types of reforms, changes in circumstances or other actions that could help these actors mobilize?

Key questions for analysis of *anti-reform stakeholders*:

- Can the stakeholder resolve the problem by changing their actions alone? Which stakeholders can influence them to do so?
- Can the stakeholder block or frustrate reform attempts through their actions alone? Do they need other stakeholders to take actions as well? Which ones?
- Does the stakeholder have influence over the actions of other stakeholders regarding the problem area? Do they have incentives to do so?
- Collectively: Are these stakeholders able to mobilize to prevent reforms?
- Collectively: What stakeholders, types of reforms, changes in circumstances or other actions could prevent or disrupt the mobilization of these stakeholders?

Key questions for analysis of *mixed stakeholders*:

- Can the stakeholder resolve the problem by changing their actions alone? Which stakeholders can influence them to do so?
- Can the stakeholder block or frustrate reform attempts through their actions alone? Do they need other stakeholders to take actions as well? Which ones?
- Does the stakeholder have influence over the actions of other stakeholders regarding the problem area? Do they have incentives to do so?
- What stakeholders, types of reforms, changes in circumstances or other actions would shift the stakeholder into the pro- or anti-reform group?
- Would the shifting of this stakeholder into the pro- or anti-reform group have a significant impact on the viability of reform?

Considering Stakeholders outside of the Education Sector

In conducting a broader analysis of the political and education sector environment, the user should prioritize gathering information that will help them understand how potential coalitions of stakeholders could be constructed and how they might be able to promote reforms aimed at resolving the problem. Box 14.5 provides an outline of the roles and interests that stakeholders outside of the education system may have, as inspiration for how they might be incorporated into pro- or anti-reform coalitions. The user should aim to gather information on three major issues in particular:

1. Is the problem area considered to be an important issue, or one that politicians at the national or local level are held accountable for?
2. What would (or does) motivate political leadership to make decisions to resolve the challenges identified around the problem area?
3. Are there venues in which a program or intervention to resolve the problem area could be created or contested (e.g. legislation, regulation, decree, spending allocations; national/sub-national body; public opinion)?

BOX 14.5 The Role and Interests of Stakeholders and Institutions outside the Education System

Stakeholders that are outside of the education system can exert influence on its priorities and operation through both direct and indirect means. Politicians and political parties can set official government policies and procedures, directly changing the rules that govern the actions of those within the education system, while institutions such as the ministry of finance can set financing levels and rules that will affect the level and form of resources in the education system. These stakeholders may also exercise power through informal institutions – for example their ability to control appointments to key positions or allocate resources across different locations.

Stakeholders such as international agencies, businesses, religious leaders and civil society have an indirect influencing role – through shaping the priorities of politicians by lobbying, public pronouncements and the availability of international assistance, and/or through shaping the attitudes of members of the public through information campaigns or public pronouncements from respected leaders. Table 14.8 in Annex 14.1 outlines several examples of the influence and interests of these stakeholder types.

Source: Author

Building Viable Pro-Reform Coalitions

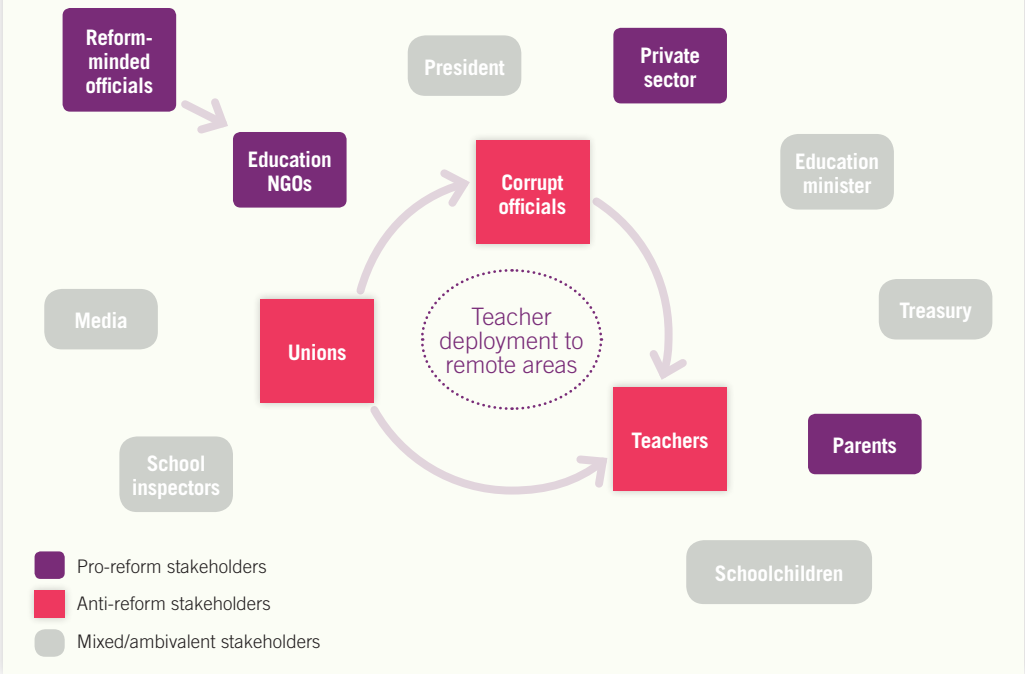
The user should use the analyses above to develop an understanding of how the interests and influence of these different stakeholders can be used to resolve the problem in question or to alleviate its causes. In some cases, there will be a single stakeholder who can resolve the issue on their own, or a small number of stakeholder who can do so with a minimal amount of support or external incentives. However, in many cases resolving the problem will involve a range of stakeholders whose interests are not always coherent and may be in conflict. In these cases, the user will need to develop a clear understanding of how interests can be made more coherent, how to bring the issue to the policy/decision-maker table, how to build a coalition of stakeholders to develop and implement these changes, and how to overcome resistance from anti-reform stakeholders.

Building viable pro-reform coalitions will require the incorporation of a range of different stakeholders, not all of whom will necessarily be pro-reform initially. They will play different roles in the process (e.g. passing legislation, implementing reforms) and will have different incentives that need to be met during reform design and implementation. Stakeholders may come from different levels of the education system (e.g. MoE, regional and local education officials), be different types of stakeholders (e.g. education officials, teachers, parents, community leaders, business leaders) and have different types of interests in reform. For example, a policy to expand teacher training opportunities may be supported by teachers who want to raise their own skill levels, as well as by business leaders who are interested in it as a means to achieve long-term improvements in the skill level of the workforce. However, it may also be supported by education officials who seek to use access to training as a form of patronage.

Mapping out the different stakeholders and their positions on reform in the form of a diagram is a useful way of understanding this process. Figures 14.7 to 14.9 illustrate how a pro-reform coalition could be built in a hypothetical context on the issue of teacher deployment to rural areas to solve the problem of poor learning outcomes in rural areas – particularly in comparison to urban areas – which problem analysis has suggested is linked to high pupil-teacher ratios and a lack of qualified teachers. In many developing countries, deployment to rural areas is unpopular with teachers, and many either fail to show up at remote schools or soon drift back to urban areas, perhaps even bribing education officials to turn a blind eye.

At the beginning of the process (Figure 14.7), there are several stakeholders who either want to improve the effectiveness and equity of teacher deployment or are ambivalent about it. However, the prospects for reform are blocked by a tight nexus between teachers, teachers unions and corrupt officials.

FIGURE 14.7 Mapping Stakeholders on Teacher Deployment – Initial Position



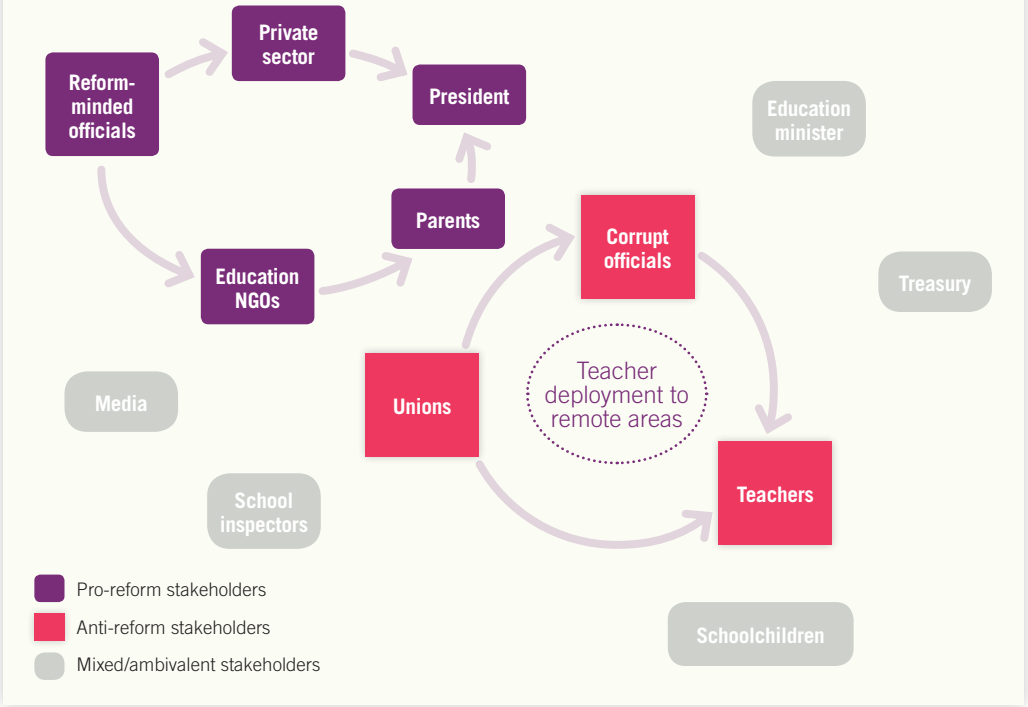
Source: Adapted from Kelsall, 2016

The next step in developing a pro-reform coalition is to draw together the different stakeholders who have an interest in pursuing reform. The actions necessary in order to achieve this may vary from the user providing a venue or using convening power to bring

representatives of these groups together to plan; to building a reform proposal that suits the needs and interests of all of these different actors; to working to change stakeholders' understanding of the problem so that they can be better aligned.

The creation of these initial coalitions may in turn have an influence on the incentives and actions of other stakeholders. For example, as we see in Figure 14.8 below, the successful creation of a coalition among reform-minded officials, NGOs, parents and the private sector has helped changed the president's stance from indifferent to pro-reform.

FIGURE 14.8 Mapping of the Initial Core Stakeholder Coalition for Teacher Deployment Reform

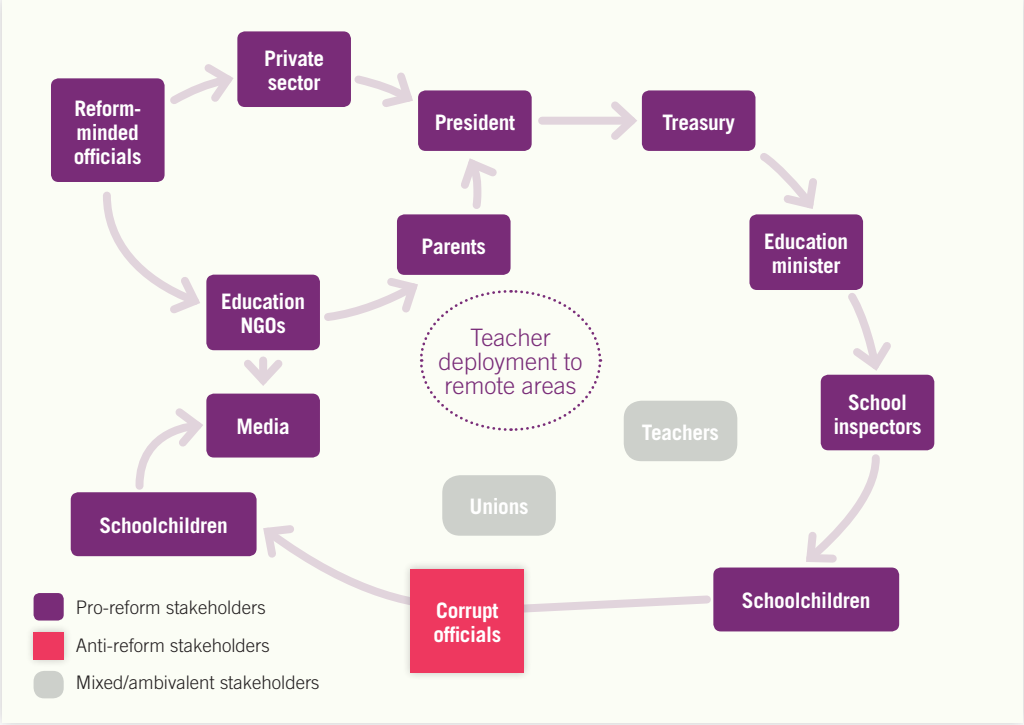


Source: Adapted from Kelsall, 2016

The president in this country context is a powerful figure and can exert a strong influence – in concert with the reform coalition – to change the incentives and priorities of the education minister and treasury. Once these actors are committed to reform, they are able to use their influence within their departments and the civil service to change the incentives of other stakeholders lower down in the education system. These are focused particularly on teachers and teachers unions – shifting them from being opposed to reform to an ambivalent position – possibly through open dialogue or the negotiation of compensating resources

(e.g. raising teacher salaries or allowances). As can be seen in Figure 14.9 below, the pro-reform coalition is now dominant and corruptible officials are largely isolated. This results in strong prospects for reforms to teacher deployment being passed and enacted, with positive implications for the performance of the education system.

FIGURE 14.9 Mapping of the Ultimate Broad Stakeholder Coalition for Teacher Deployment Reform



Source: Adapted from Kelsall, 2016

The above example is highly stylized, and many contexts will present a range of further challenges in implementing reforms – particularly in terms of stakeholders such as presidents and national MoEs having more limited influence over the incentives of sub-national stakeholders and service providers. However, it serves to demonstrate the ways in which coalitions can be built in stages across a range of stakeholders, using a combination of convening power and influence to make connections and change the incentives of different actors to enable reforms that better support the education sector.

There are a number of useful resources that the user can consult which summarize different approaches to building coalitions and provide examples of how these dynamics have operated across a range of contexts.[79] Two of these approaches – sequencing reforms and building local-level alliances – are included below in Example 14.5 and Example 14.6 respectively.

EXAMPLE 14.5

(Sequencing Reforms): Negotiation and Sequencing to Overcome Stakeholder Opposition to Reform, Chile

Source: Adapted from Bruns and Luque, 2015; and Mizala and Schneider, 2014, 2019

Since the early 1990s, Chile has been able to progressively adopt and implement major reforms to improve education quality that have been strongly resisted in other contexts. These reforms include standardized student tests, school-based bonus pay, higher teacher standards, individual teacher performance evaluations and bonus pay, an exit exam for teacher education program graduates and reduced job stability for poor-performing teachers. The strategy adopted by the government was one of negotiation and sequencing that took place over a 20-year period.

Findings:

Firstly, goodwill and trust were created by the restoration of teacher rights, collective bargaining and civil service status, which had been lost in the Pinochet era. This was then cemented with significant funding, such as increases in teachers' real wages, improved teacher working conditions, investment in ICT, and support for low-performing schools. These first steps created a political platform of collaboration between the government and the teachers union on which further reforms could build.

Secondly, the government fostered public demand for reforms to improve education quality by setting up a strong national assessment system (the Sistema de Medición de Calidad de la Educación – SIMCE*) and joining international assessment mechanisms (Programme for International Student Assessment – PISA, Trends in International Mathematics and Science Study – TIMSS, the Latin American Laboratory for Assessment of the Quality of Education – LLECE, and the Second Regional Comparative and Explanatory Study – SERCE) that provide information about learning levels and benchmark against high-performing countries. While doing this, the Chilean government consistently established high-level national commissions that could jointly work with the teachers union on the development of reforms proposals.*

Thirdly, reforms were sequenced to minimize union opposition and implemented gradually with considerable piloting – beginning with teacher policy reforms that are relatively easier for unions to accept (e.g. school-based bonus pay, and voluntary teacher evaluation linked to bonus pay) toward those that are more challenging (e.g. individual bonus pay and compulsory evaluation). The sequencing of the reforms played a key role in the reform strategy. The ministry established a voluntary teacher evaluation program, and then pushed a step further by working on the design of a teacher performance evaluation that would be mandatory for all municipal teachers. This system was adopted in 2004 and is more holistic than teacher evaluation programs in other countries. Despite resistance and conflict within the union, that led to a change in union leadership in 2007, union and government agreed on performance evaluations. The gradual and negotiated process that led to the adoption of the teacher education law and previous policies has established an irreversible base of support and led to an important reform of the teacher career path in 2012, and ultimately to the significant reform of 2016 with the adoption of law Sistema de Desarrollo Profesional Docente*, which totally revamped teacher careers. The law covers all aspects of a life-time career, from initial teacher preparation, to recruitment and introduction, and then through five major steps on a comprehensive career ladder that culminates in the title of master teacher.*

This example demonstrates that in a complicated and politicized environment marked by ongoing student protests over tuition fees in higher education and a change of government, the Chilean government has succeeded in building on gradually sequenced and carefully negotiated reforms to adopt and implement the teacher policy reform, which sets out what is the most comprehensive and coherent teacher policy reform in the Latin America and Caribbean region to date.

The user should also bear in mind that the broader the coalition of stakeholders and the more diverse the range of interests, the harder it will be to construct the coalition and the greater the danger that it will be disrupted. There is also likely to be a trade-off between the number of stakeholders in a coalition and the extent to which a policy or solution that is optimal from a technical standpoint must be modified to meet the interests of the different coalition members. In most cases, the initial priority should therefore be on creating minimum winning coalitions; i.e. coalitions of stakeholders comprising all the stakeholders absolutely necessary to ensure a policy is adopted and implemented, but no others beyond them. An exception to this is when reforms are being implemented as part of a planned series of reforms, some of which will require the support of a broader coalition or different stakeholders. Trade-offs to some reforms may therefore be necessary to ensure goodwill and build support for other reforms that require a broader coalition.

EXAMPLE 14.6

(Local-Level Alliances): Local-Level Solutions inside Challenged Systems; Eastern Cape, South Africa and Ghana

Source: ESID, 2016; and Levy and Shumane, 2017

Both Eastern Cape, South Africa and Ghana demonstrate the need for coalitions of stakeholders at both the national and local level, as well as the potential for coalitions at the local level to take advantage of national reforms and produce improved results – even in the context of broader dysfunctions in the education system.

South Africa's Eastern Cape faces a challenge of poor learning outcomes and low accountability in its education system. These issues are closely linked to competing and divergent regional interests, organizational cultures and strong patronage ties – all of which undermine the effectiveness of the education system and accountability for schools. National government had attempted to intervene, including taking over the Eastern Cape Department of Education, but did not manage to make a significant impact – after which it was returned to local control. Despite these challenges, some progress has been made at the school level, taking advantage of the 1996 South Africa Schools Act, which delegates authority to both provinces and school governing bodies, in which the majority of positions are held by parents. Levy and Shumane (2017) highlight examples from two schools in a district in which coalitions of stakeholders were able to improve outcomes and the functioning of the system in quite different ways.

Findings:

The first school saw a coalition of teachers, the school governing body (SGB) and the extended community, which created a more inclusive institutional culture. This provided a strong platform for the recruitment of teachers and the school principal in a manner that ensured their continued commitment to the provision of quality education in the school and limited the influence of external patronage. In the second case, the school had experienced almost a decade with an absentee principal, during which time both school standards and student numbers significantly worsened. The principal was eventually removed when a coalition of parents and some SGB members mobilized the broader community, resorting to blockading the district office of the Department of Education when it failed to provide support. Following the removal of the principal, the SGB appointed an internal candidate to the post and worked with the broader community to begin raising standards, turning around the trend of failing student numbers.

There are parallels to these dynamics in Ghana, in terms of stakeholders at the district level being able to use powers devolved from the national level to improve outcomes. Ghana has seen strong investment in education in recent years and improved access, driven by multi-party competition and patron-client politics. However, this focus has not resulted in improved learning outcomes, in part due to rapid changes in policy that are not always coherent, and poor accountability in the teaching profession due to political linkages. Teacher absenteeism is a major challenge, but varies strongly across districts – partly as a result of different usage of powers gained through decentralization.

Findings:
The Effective States and Inclusive Development Research Center (ESID, 2016) found that some better performing districts were characterized by strong alliances formed between key political and civil service actors, and between them and the teachers unions. These coalitions are able to overcome opposition to implementing policies and give the local education administration greater freedom to sanction and incentivize teachers, as well as to initiate systems for community monitoring. This also enables them to circumvent some of the challenges arising from broader issues in the education system (e.g. high teacher absenteeism and low teacher time on task, which are linked to patron-client politics). In other districts, however, progress has been stymied by stronger resistance from both teachers unions and local politicians.

Once an intervention or policy approach has been secured, there may then be a broader process of gathering legitimate support by promoting the solution to a wider range of stakeholders including the public. This may be important in building momentum behind the reforms and in helping to cement the stakeholder coalition by having them publicly declare their support and involved in promoting the solution to their supporters or members. The extent to which this is necessary will depend on the scale of the problem that needs to be resolved and whether it requires only relatively minor and localized changes or significant and national changes that will be more controversial.

The Role of Events in Creating Opportunities or Blockages for Reform
Another factor to consider is that events may create opportunities or blockages to the advancement of reforms by shifting the incentives, priorities and relative power of different stakeholders. The user and their team should take a close interest in whether upcoming events are likely to improve or damage the successful agreement of reforms to allow them to take necessary actions. In some cases, the user may also be able to promote events that will improve the chances of reform (e.g. shifts in public opinion or major news stories).

The user should also be aware of the types of potentially unexpected events that could shift the viability of reform coalitions, including:

- Publication of national or international assessment results
- Court cases regarding the fulfillment of legislation or right to education
- Major news stories on aspects of the problem area
- Presence and positioning of international donors

- High profile shifts in the international discourse around education
- Elections (e.g. national, local, changes in political control of different levels/regions of government)
- Changing economic conditions or opportunities (e.g. improved growth, depression, trade deals)
- National institutional changes (e.g. decentralization/centralization of functions, changes in revenue raising capacity, civil service recruitment reforms)
- Shifts in public or elite opinion

SECTION 4

The Final Output – Managing Sensitivities and Ensuring Relevance

The final output of the process outlined in this chapter should inform the later elaboration of a broad strategy or theory of change for how a solution to the identified problem area could be formulated, agreed and implemented, that will take into account the root causes identified, the key stakeholders involved and how different interests could be aligned to build pro-reform coalitions able to defuse or work around anti-reform stakeholders.

The user should therefore ensure that the stakeholder mapping output incorporates information to be exploited by strategists and planners, on:

- The root causes and elements of the causal chain that it will be most viable to implement a solution for;
- The stakeholders that will need to change their actions as part of the solution;
- The stakeholders that are able to implement the necessary changes in policy and stakeholder actions, as well as the incentives they have to do so;
- How a coalition of pro-reform stakeholders could be built – including a theory of change for gaining the support of mixed or ambivalent stakeholders;
- The likely coalitions of anti-reform stakeholders and how they could be disrupted or overcome;
- The types of events or pressures that could block or aid attempts at reform;
- Potential limiting factors to the impact of reform (i.e. blockages and root causes that are not addressed by this reform)

Managing Sensitivities in the Final Output

The user and their team will be very aware of the potential sensitivities of this final document. The process of problem-driven analysis and stakeholder mapping is likely to touch on a range of sensitive issues and has the potential to uncover sensitive information – particularly on problems that are partly rooted in corruption or patron-client relationships.

While it is important to be fully aware of all the dynamics uncovered, and be able to use these to inform the development of ESPs at a later stage, it may also be necessary to limit circulation of the full document to avoid any political fallout and help maintain institutional support.

Ensuring interviewee anonymity for these types of discussions is also key to securing the information and any write-up should be careful to avoid details of individual cases, instead speaking in more general terms and focusing on the systemic challenges that allow these cases to occur and persist. The option to produce two reports – one internal and one external – should also be considered. The former would provide a complete analysis for internal use, while the latter would avoid detailed discussion of more controversial areas or stakeholders, instead focusing on the positive attributes needed in a solution for the problem.

Ensuring the Output Is Relevant and Fit-for-Purpose

The final output document should be used as a key source of information for evaluating the viability of different proposed solutions and strategies for education system reform that are aimed at resolving the problem area in question. It is primarily intended to feed into the process of designing the national ESP, but could also be applied to policy development processes outside of this framework. This process should be dynamic. As reform attempts are made, the user and their team may discover some of their initial analysis and assumptions are incorrect or incomplete. Incorporating this information and revising the document regularly will make it a powerful tool for further policy development.

In terms of practical application of this output, it should give the basic information needed to evaluate the viability of policy proposals for the problem area in question. For a proposed solution to be viable it will need to demonstrate that it can meet certain basic criteria in terms of understanding and planning for stakeholder interests and management.

Basic criteria for judging the viability of solutions include:

- Are there stakeholders who have an interest in implementing the solution?
- Do these stakeholders have the power or influence to implement it?
- Are there stakeholders who have the power to frustrate implementation?
- Is there a clear plan and mechanism in place to overcome this resistance?
- Is there capacity and willingness to adapt the solution and strategy in response to resistance and unanticipated challenges?
- If implementation is successful, are there limiting factors that will prevent an impact being felt?

64 Envisaged as national governments, civil servants in ministries of education, and other national stakeholders (e.g. NGOs, researchers).

65 See Pritchett, 2015 and Pritchett, 2018.

66 Box 14.1 in the chapter introduction outlines how stakeholders are defined for the purposes of this analysis.

67 The framing of the long and short routes of accountability originates with the *World Development Report 2004* (World Bank, 2003).

68 See Pritchett, 2015 and Pritchett, 2018.

69 Guidance for this chapter of the country ESA can be found in Chapter 13 "Functioning and Effectiveness of the Educational Administration" of these ESA Methodological Guidelines.

70 Guidance for this chapter of the country ESA can be found in Chapter 4 "Quality, System Capacity and Management" of these ESA Methodological Guidelines (Vol. 1).

71 Guidance for this chapter of the country ESA can be found in Chapter 13 "Functioning and Effectiveness of the Educational Administration" of these ESA Methodological Guidelines.

72 However, there are a range of other approaches that could be adopted and may be more appropriate for the user if already familiar with them. For useful examples of these alternative approaches, see UNESCO, 2010 and ODI, 2009.

73 See Annex 14.2 for general guidelines on conducting semi-structured interviews and FGDs, and Annex 14.3 for examples on key areas to address during the interviews for the purposes of this chapter's analysis.

74 Guidance for this chapter of the country ESA can be found in Chapter 13 "Functioning and Effectiveness of the Educational Administration" of these ESA Methodological Guidelines.

75 Ibid.

76 See Annex 14.2 for general guidelines on conducting semi-structured interviews and FGDs, and Annex 14.3 for examples on key areas to address during the interviews for the purposes of this chapter's analysis.

77 Particularly useful sources to consult to develop a more complete understanding of these dynamics include Hickey and Hossain, 2019; Pritchett, 2015; Kingdon et al., 2014; and Harris et al., 2013.

78 Find more details and examples in Pritchett, 2015.

79 Particularly useful documents to consult include World Bank, 2017; Wales et al., 2016; Williams, 2016; Hossain et al., 2017; and Grindle, 2004.

ANNEXES

ANNEX 11.1

Understanding the Medical vs. Social/Human Rights Model of Disability

	Medical Model	Social/Human Rights Model
Types of questions	Questions are asked from a medical perspective (focusing on conditions or impairments). For example: • Is the child blind? • Is the child deaf? • Has the child lost one or several limbs? • Is the child a polio survivor? • Does the child have cerebral palsy? • Does the child have an intellectual disability?	Questions are asked from a social/human rights perspective (focusing on functioning).[80] For example: • Does the child have difficulty seeing? • Does the child have difficulty hearing? • Does the child have difficulty walking? • Does the child have difficulty remembering? Each question would be rated on a scale: a. No – no difficulty b. Yes – some difficulty c. Yes – a lot of difficulty d. Cannot do at all
Data	Provides a "binary" definition of disability based on a medical diagnosis.	Provides a graduated scale based on actual difficulty in daily life.
Categorizing information	Specific impairments are placed in a particular category; e.g. a child with Down syndrome would be in the 'intellectual disability' category, irrespective of the level of difficulties the child experiences in daily life. Similarly, a deaf child who hears well with a hearing aid or a polio survivor whose mobility is only minimally affected would be labelled. In contrast children with significant difficulties who do not fall easily into the proposed categories may be missed; e.g. a child who is severely impaired by polyarthritis.	Whatever their impairment or conditions, children can be placed at different points on the four-point scale according to the functional difficulties they face in their daily life. Accordingly, the level and nature of support can be more readily analyzed.
Impact	Can be more stigmatizing and result in lower response rates. Identification rates are affected by differences in awareness or the use of different thresholds to identify functional limitations as a problem.	Increases the likelihood participants will be willing to give accurate answers. Does not require all respondents to have the same perception of disability as it does not ask about the person's disability status but about functioning.

80 Examples reflect questions on core functioning recognized by the Washington Group on Disability; see http://www.washingtongroup-disability.com/washington-group-question-sets/child-disability/.

ANNEX 11.2 Questions to Consider when Looking to Restructure the Current Education System to Be More Disability Inclusive

Early detection and early intervention for infants and young children with disabilities

1. Is an early detection and early intervention service provided to families of infants and young children with disabilities? Who are the service providers (e.g. ministry of health, MOE, NGO sector or any combination of these)?
2. Does this service reach all families with children with disabilities? If not, what measures are needed to extend early intervention services to all?
3. What partnerships are necessary to ensure that early intervention services are provided to all young disabled children and their families, particularly in rural areas?

Access to preschool for children with disabilities

4. Is there a system of preschool education? If so, what percentage of children attends preschool?
5. Who provides preschool education (e.g. government, NGOs, a combination)? Is there a system in place to coordinate provision?
6. Do children with disabilities attend regular preschools?
7. What training do preschool teachers receive? Do any preschool teachers have special training to enable them to teach children with disabilities?

Access to primary school for children with disabilities

8. Is there a system of regular inclusive schools that enroll children with disabilities?
9. How many or what percentage of regular schools is inclusive? What percentage of children with disabilities attends regular inclusive schools?
10. Do children in rural areas, including children with disabilities, have equality of access to primary education?
11. is there a system of special schools for children with disabilities? If so, what percentage of children with disabilities attends these special schools? Do children from both urban and rural areas attend these schools?

Access to secondary school for children and youth with disabilities

12. What percentage of students with disabilities has access to secondary level education opportunities?
13. What assistance or special accommodation is provided to students with disabilities in secondary schools?

Access to tertiary education opportunities for persons with disabilities

14. What percentage of students with disabilities has access to tertiary level education opportunities?
15. What assistance or special accommodation is provided to these students in tertiary level educational institutions?

1 Teachers

Service Delivery - Supply

What is Inclusive Pedagogy?

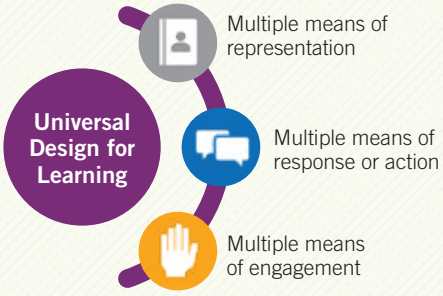
Inclusive education is a **dynamic process**, which aims at teaching all children with and without disabilities together in welcoming learning environments. As there is no "special pedagogy" to teach children with disabilities, teachers should have the training and tools to adapt to all children's diverse needs, interests, and capacities.

Inclusive pedagogy is not only about teachers. It is also about making schools **accessible to all**, inside and outside the classroom. An inclusive classroom is supportive of all students, and free of discrimination.

Inclusive pedagogy views the **students** as active participants in their own learning, and the classroom's learning. All children in the classroom can be great resources in activities and in support of each other.



Image Source: UNICEF (2014)



Inclusive pedagogy starts with changes in teachers' classroom behaviour: the way they interact with the children, where they stand, how they use resources. In this respect, using **Universal Design for Learning (UDL)** can help to achieve greater inclusion. UDL's main objective is to open **multiple learning pathways:** children are provided with diverse content in different ways, with multiple ways to show what they have learnt and multiple opportunities to participate.

Teacher associations, school boards and parent-teacher associations should be engaged in making sure discrimination and segregation are not reproduced within the classrooms, either formally or informally, through a **regular monitoring process.**

Working Document originally created by IIEP-UNESCO and UNICEF for reference during the Foundations of Disability-Inclusive Education Sector Planning Technical Roundtables (2018) and online course (2020) based on the UNICEF Inclusive Education Webinars- Companion Technical Booklets (2014).

Why and how should teachers receive inclusive education training?

Pre-service teacher training	In-service teacher training
All teachers should receive initial training on inclusive education. The initial teacher training curriculum may include, for example strategies for **identifying and addressing learning needs**, for stimulating children's **participation…**	In-service training should be delivered inside the school or within a **cluster of schools** sharing inclusive education resources for greater impact and context-specificity.
Data need to be collected on teacher training to determine how many teachers have received inclusive education pre- and in-service training and how many more need to be trained, how, and in which realistic timeframe.	

Inclusive education can only work if teachers are prepared to teach in inclusive settings. Traditionally, teachers receive optional separate training modules on "special education". Yet, to **end segregation** in education, **all** teachers, support staff, and school leadership need to acquire the competencies to work in inclusive environments.

How can teachers be supported for greater inclusion in the classroom?





Image Source: UNICEF (2014)

Teaching in inclusive settings can be complex and overwhelming, which is why teachers may be encouraged to collaborate and use support from their peers (peer coaching, teacher aids, teachers from special schools when they face difficulties) but also from parents and community members to help them make their classroom more accessible for instance, and from children, too (collaboration between learners).

Teachers can build on existing practices and assets that previously promoted inclusive pedagogy but may not have been labelled as such.

Provision of **additional classroom support** to children with disabilities in mainstream schools could also facilitate their inclusion.

2 Infrastructure

Service Delivery - Supply

What is inclusive infrastructure and why is it important?

Inclusive education is about enabling all individuals with disabilities to get to school, as students, parents, teachers, or in any other capacity. This requires that the barriers individuals with disabilities face within the community are identified, including those relating to **transport and mobility.** For **girls** in particular, the issue of **safety and security** in transportation as well as the adequate provision of **sanitation** and hygiene facilities are key factors in school access.



Image Source: UNICEF (2014)



Inclusive schools should be fully accessible to all individuals. **Accessibility** is a broad concept that encompasses the usability of environments, amenities and resources by persons with disabilities in **everyday and emergency scenarios.**

Making schools accessible can be achieved through Universal Design (UD). UD can be defined as the design of products and environments to be usable by all people, to the greatest extent possible, without the need for adaptation or specialized design. This means that it can both involve and benefit everyone.

*Awareness means the information is easily perceived and understood by all.

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How can school infrastructure be adapted for individuals with disabilities?

- Accessibility does not have to be costly if it is considered from the beginning. **Early planning** to ensure that all new construction is made accessible is therefore crucial and efficient.
- Planning requires **cross-ministerial collaboration** to meet every individual's needs appropriately.
- This includes not only students, but parents, teachers, school leadership, district officials, etc.
- **Data** need to be collected on school accessibility to allow for regular monitoring and further planning. This can be done through an Education Management Information System **(EMIS)**.



3 Learning Materials

Service Delivery - Supply

What are learning materials and why are they important?

Central to the implementation of inclusive education is making books, textbooks, exercise sheets, videos and other **"learning materials"** available to all students in a format that they can read or use and understand.

Why? Because children with disabilities need to have access to inclusive learning materials to access the curriculum independently and to **participate effectively** in classroom activities.

This means first that mainstream learning materials should be made **inclusive** and **disability-sensitive.** Students' textbooks and teacher toolkits, books, and guidelines in particular should be inclusive.

In line with **Universal Design for Learning** (see Sheet #2), learners should have universal access to information, in multiple ways.

Disability-specific **assistive technology** can also be required in some cases (see Sheet #6).

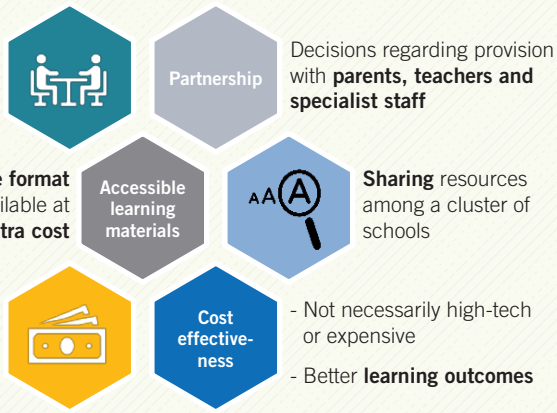




Image Source: UNICEF (2014)

Working Document originally created by IIEP-UNESCO and UNICEF for reference during the Foundations of Disability-Inclusive Education Sector Planning Technical Roundtables (2018) and online course (2020) based on the UNICEF Inclusive Education Webinars- Companion Technical Booklets (2014).

Examples of Learning Materials and Assistive Devices



Basic **low-tech** equipment such as symbol/picture boards, eye-gaze or eye-pointing systems, magnifiers, Dictaphones, etc.



Films, video, and broadcast resources with **captions/ subtitles** to supplement the audio components of the film/video can be very helpful.



Braille is a tactile lettering system consisting of raised dots that a child with vision impairment can be taught to use by reading using their fingertips.



Sign language resources can also support the learning of children with hearing loss.



Braille typewriters for the creation of braille documents can be very helpful.



Easy-to-Read versions of books can help children with cognitive and intellectual difficulties.



Audio books are recordings of a book being read aloud, supplemented with descriptions of illustrations and graphic content in the printed book.



Making printed information available as **large-print documents** is a cost-effective way to support the learning of some children with vision loss.





Alternate access hardware (alternate keyboards, mice, touch screens) and **alternate access software** (for reading organization, text to speech and speech to text conversation) should also be considered especially as many free open-source software resources exist.



E-text readers read text aloud from electronic documents or websites displayed on an electronic device. In this perspective, electronic documents and websites are a very good resource.

4 Curriculum

Service Delivery - Quality

What is an inclusive curriculum and why is it important?

All children should be guaranteed a **rights-based access to curriculum.** Children with disabilities should therefore have the opportunity to **participate** and **progress** in the general education curriculum, as far as possible.

An **inclusive curriculum** should provide all children with the opportunity to acquire core academic skills, basic cognitive skills, together with essential life skills, which equip them to face future life challenges, maintaining high expectations.

Inclusive curricula should also uphold principles of **non-discrimination, diversity** and **tolerance**. Textbooks should therefore incorporate positive images of adults and children with disabilities and be offered in various formats (see Sheet #3).



Image Source: UNICEF (2014)

Curricula that do not match these basic criteria should be adapted towards greater inclusiveness and in this respect, **teachers** should receive **training on curriculum adaptation.**

Development of **inclusive pre-school curricula** should also be encouraged to foster inclusion from the onset.

What are the key principles for an inclusive curriculum?



Feedback from all stakeholders (learners, parents, teachers) should be gathered and integrated for **regular revision of the curriculum**, to take new visions and circumstances into account.

Equity and adaptability
The curriculum is disability-sensitive, endorses a rights-based approach to curriculum access and can adapt to children with diverse abilities while maintaining high standards.

Flexibility in us
The curriculum accommodates diverse preferences and learning needs and allows for variation in working methods. disability-sensitive, endorses a rights-based approach to curriculum access and can adapt to children with diverse abilities while maintaining high standards.

Relevant education
The curriculum provides effective and relevant education with regard to the needs and future of the child. disability-sensitive, endorses a rights-based approach to curriculum access and can adapt to children with diverse abilities while maintaining high standards.

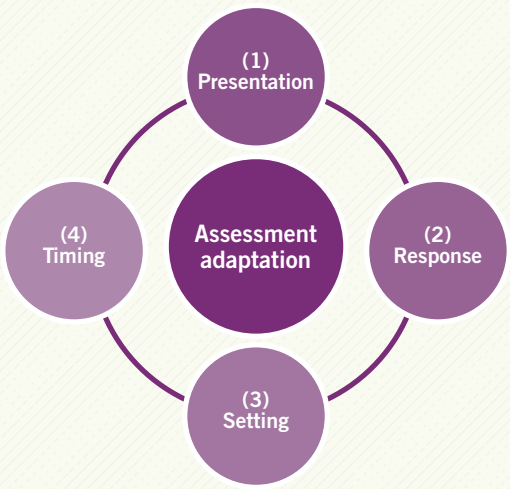
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How can inclusive curricula be followed by inclusive assessment?

Assessment of children's learning should always inform in-process teaching and learning modifications and stimulate feedback and discussion (**formative assessment**).In line with **Universal Design for Learning** (See Sheet #1), it is possible to present assessments through multiple means in order to make them accessible for children with disabilities. Such **flexible accommodations** can provide a way for children with disabilities to show their knowledge in a **more equitable** way.



Image Source: UNICEF (2014)



(1) Oral reading of the assessment, large print assessments, sign language administration of the questions, Braille tests

(2) Access to a computer or utilization of a scribe to help with answering of questions, access to a Braille typewriter

(3) Possibility to take the test in a separate place to minimize distraction, in a small group

(4) Possibility to have extended time to complete the test, to have multiple or frequent breaks

5 Assessment

Service Delivery - Quality

What is disability screening?

Disability Screening involves the identification of a child who faces activity limitations or functional difficulties.

Early Screening and Intervention are best handled **before a child reaches school age.**

- Inter-ministerial collaboration is advisable as early screening programs typically fall under the responsibility of the Ministry of Health since children are not school-aged.
- Parents and family members benefit from having access to disability screening before children reach school age.
- The earlier a child's needs are identified, the sooner they can be addressed.

Teachers benefit from training to **identify** and **refer** children who may have barriers to succeeding at school.

- Teachers need to be attuned to the referral process in order to be better informed to support students during and after the referral.
- Inclusive education training will emphasize for teachers the importance of maintaining the same standards for children with disabilities.

A **referral system** is an important **support system** for teachers in order for a child's disability to be **accurately identified. Professional recommendations** are part of their **individualized education plans** (See Sheet #6).

- It is important that once a child is referred, there is timely follow up and services provided if a disability is diagnosed.

Keep in mind: Disabilities can occur at **any point in life**, and **needs can evolve.** Identification of disabilities is an **ongoing process** for those inside and outside of the education sector.

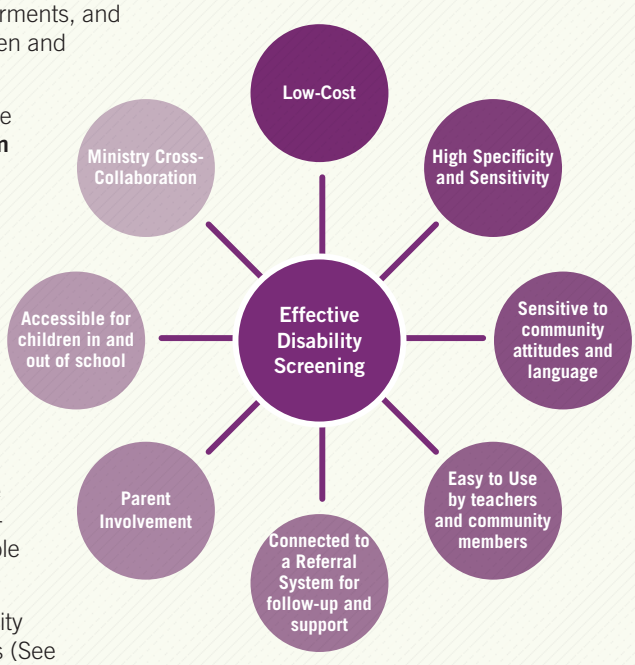


Image Source: UNICEF (2014)

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How can we ensure disability screening is effective?

- There are creative, **low cost** ways to initially screen children for numerous types of impairments, and **technology** can help in getting children and families connected to **professionals**.
- Hearing and Vision Screenings can be integrated in a **school health program** for every child.
- **Parental involvement** is critical in screening processes- It allows parents to provide unique information but also learn more about what their child is going through and their needs.
- Disability Screening needs to be available for children in and **out of school**, as many children out of school are not attending due to some form of disability. This requires cross-sectoral collaboration between multiple ministries.
- **Community attitudes** towards disability may affect disability screening results (See Sheet 7). **Language** of assessments should be carefully translated and adapted for the community (ex. Washington Group Questions: Does the child have a hearing disability --> Does the child have difficulty hearing?).



Continuous Learning Assessments



Image Source: UNICEF (2014)

It is important to **measure learning outcomes** for children with disabilities to monitor if changes need to be made to their learning supports. It is difficult to **consistently** and **fairly** measure learning achievements and outcomes for many children with disabilities. Classroom, local, and national assessments need to have **appropriate** and **consistent accommodations** or **modifications** for a child with an individualized education plan (See Sheet #8 for examples of Assessment Adaptations).

For children with **customized learning goals** (ex. life skills for children with self-care difficulties) benchmarks need to be set and monitored to ensure that the child is making progress.

6 Learning Support

Service Delivery - Quality

Individual Learning Plans/Individualized Education Plans

Disability screening for in-school children (See Sheet #5) can result in creating an **Individual Learning Plan** (also referred to as an Individualized Education Plan) for a child.

For most students, the supports and services provided should allow them to achieve the same as their peers. For select students, terms of grade promotion and graduation may be modified to something more suitable for the child's abilities.

It is important for these supports to be available to the child at school and/or home, promote the child staying in school, and not be cost prohibitive to the school or family. They should give the child the **opportunity to succeed.** They do not guarantee the child's success at school.

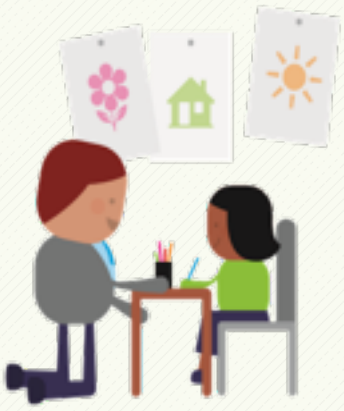


Image Source: UNICEF (2014)

What is an IEP?

An IEP **(Individualized Education Plan)**, or **Individual Learning Plan**, is a document used between **teachers, professionals and parents** to track **diagnoses** and **interventions**, and **progress** for a child with unique needs.

This document outlines:

- The **disability** and **challenges** the child is facing
- The child's **strengths**
- **Supports** that will be put in place
- How **success** will be **defined**

Types of Individual Supports

Special Tutoring or Assistance in Classroom

- Teacher or aide provides small group or individual instruction related to the content of the class
- Can be grouped with other students in the class who do not have disabilities

Special Tutoring or Assistance Outside Classroom

- Teachers or aides may provide tutoring before or after school
- Outside tutors may also be employed at the expense of the family

Orientation and Mobility Instruction

Used to teach someone how to identify where they are and get to where they want to go

Includes instructing someone with a visual disability how to use a white cane to get around

Eye Glasses/Spectacles

- Used to correct one's ability to focus on objects at various distances (nearsightedness, farsightedness, astigmatism)
- Personalized for recipient after an eye exam by a professional

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Physical Therapy

- Used to address developmental delays, cerebral palsy, orthopedic disabilities, heart and lunch conditions, and more
- Includes activities like stretching, walking, coordination activities, etc.

Speech Therapy

- Used for children with speech difficulties and language-related learning issues
- Includes activities such as practicing sounds, words, play-based therapy, and writing activities

Occupational Therapy

- Used to develop cognitive, physical, sensory and motor skills
- Can include working on fine motor skills (writing, grasping objects, etc.) or daily living skills (brushing teeth, getting dressed, etc.) or sensory issues (focus and social skills)

Counseling

- Used to develop social skills, emotional understanding, behavioral responses, etc.
- Includes individual and group sessions, play activity, reflection activities, etc.

Braille Instruction

- Used to support a child with a visual impairment who is unable to use large-text or other assistive devices
- Requires a qualified instructor specific resources (texts in braille, braille printer, etc.)

Sign Language Instruction

- Taught to children who are hard of hearing or deaf, or have family members who are hard of hearing or deaf
- May have individual instruction in general schools, and the child will need an interpreter to interact with peers
- Requires a qualified instructor
- Often taught in special schools for the children who are hard of hearing or deaf

Hearing Aids

- Technological devices designed to improve hearing for a person with hearing difficulties (not the same as a cochlear implant for someone who has total hearing loss)
- Personalized for the recipient, requires a "fitting" with an audiologist

Wheelchairs or Tricycles

- Wheelchairs and tricycles are used for movement when walking is difficult or impossible due to disability, illness, or injury
- They come in a wide variety of forms, electric, manual, pushed by the user with their hands, or by a second person

Canes, Walkers, or similar Devices

- Used to improve movement and/or balance
- Canes are used by some visually impaired to navigate surroundings
- Persons with physical impairments may use a variety of supports, including alternating between crutches, a walker, or a wheelchair

Prosthetics

- Used to replace missing limb(s) from trauma, illness, congenital defect
- Built and sized specifically for the recipient
- Wide variety of high/low cost options, electronic, etc.
- Recipient will need physical/occupational therapy to learn how to use the prosthetic

Electronic or Audio Support

- Teachers may integrate a multitude of supports to present information, using audiobooks, infographics, graphic organizers, etc. to help students understand the content

Secondary Language Instruction

- Many children, due to wide variety of local languages, and/or voluntary or involuntary movement may attend school in an area where they do not know the language of instruction
- Can be integrated into many classroom activities, and supplementary language classes can also be provided for children and their families

7 Attitudes

Service Delivery - Demand

Individual Learning Plans/Individualized Education Plans

Inclusive education relies on a **common vision**, shared by parents, communities, and school personnel that all children should be provided the opportunity to participate in education.

Building a strong demand for inclusive education therefore requires **positive and supportive attitudes** from all stakeholders, which means all bias, stigma, and discrimination towards children with disabilities are actively fought.



Image Source: UNICEF (2014)

Achieving inclusion in the classroom is not only about knowledge, skills, infrastructure and learning materials but also about attitudes. This means policymaking helps teachers to be **better equipped** in order to have **confidence** in their ability to teach all children, with and without disabilities.

How can local communities' attitudes favour inclusion?



Religious and cultural beliefs surrounding disability can play a critical role in the way children with disabilities are perceived in their communities (sin, curse, taboo).

To change these negative attitudes towards disability, activities which **partner disabled, and non-disabled children up** can be very effective (in inclusive playgrounds for instance). This way, disability can be increasingly seen as "just another human experience".

Inclusive education is by nature cross-sectoral and relies on **community partnerships** (See Sheet #12). Communities that promote collaborative attitudes can therefore be very helpful to make inclusive education a sustainable reality.

Collaborative attitudes are attitudes, which create a social and educational atmosphere where parents and partners feel welcomed, heard, and needed.

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How can families' attitudes favour inclusion?

The Family's involvement is essential to quality inclusive education. Families are not just the parents: siblings and grandparents may be involved in inclusive education.

But how can families get involved?

Children with disabilities are not the only ones that benefit from inclusion: there are also advantages for the **parents** (better understanding of their child), **classmates** (better education), **educators** (better understanding of the child and the community) and **schools** (better reputation).

SUPPORTERS

At home, parents support an **inclusive approach** to the child's learning and development. Families **support other families**, especially families facing socioeconomic disadvantages.

PARTNERS

Families are welcome to **participate in decision-making** and support aspects of **daily management** of school activities. Families are provided with some **guidance** on how to get involved in inclusive education.

ACTIVISITS

Families and communities can play an important role in **advancing a policy framework** for inclusive education.



Image Source: UNICEF (2014)

School-family partnerships and positive attitudes towards inclusion can improve children with disabilities' educational achievements.

Adequate structures and active policies provided as a guide for families to become involved can therefore be very useful to create support and resource sharing groups for parents.

Common understanding between families and educators and respect each other's roles helps making inclusive education successful.

Media Campaigns can promote messages of inclusion. This can also include professional journals, videos, and specially-organized conferences.

Resources can be provided to parents to achieve these objectives.

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8 Cost

Service Delivery - Demand

Direct and Hidden Costs

Every family must bear some cost sending children to school. There are **direct fees**, which the school or government clearly charge for attendance. There are also hidden fees. **Hidden fees** are not obvious but necessary expenses for sending a child to school. These include things like uniforms, learning materials, etc.

Families also have to consider **opportunity cost** of sending a child to school. The family may be in a situation that it is more valuable for a child to work during the day so they have enough money for food, or take care of younger siblings to they can work.

Families may also choose specific children to attend school, believing they have the most potential if they cannot afford to send all of their children.



Fees
Despite free education being legislated in most countries, many schools still charge fees for attendance

Uniforms
Uniforms can be expensive recurrent costs for families as children can quickly grow out of/ wear out their uniforms.

Learning Materials
Families may be expected to pay fees for supplies for general and specialized classes (art, chemistry, etc.)

Food
Lunch fees may be prohibitive to a family, and if the family lives far from the school, the children may not be able to go home and eat in time.

Additional Costs for Children with Disabilities

Families

Families with children with disabilities bear additional costs and considerations when sending their children to school.

If a family is having difficulty paying for all of their children to go to school, they will more likely keep the child with a disability at home, believing that they will not succeed at school anyway.





Additional costs for:

Assistive Devices
- Wheelchairs/Canes/Crutches
- Glasses
- Hearing Aids
- Screen-Readers

Transportation
- To and from School
- To and from Medical/Resource centres

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Assistive Devices
- Fees at Special Schools
- Enrolment Fees
- Room and Board

Medical Fees
- Diagnostic Services
- More Frequent Check-ups



Uniforms
- Altering for physical or occupational impairments

Schools

Schools must **provide additional supports** for many children with disabilities, which can add financial burden on the schools.

Additional costs include:

Infrastructure Remodelling
- Adding ramps
- Renovating common areas for accessibility (bathrooms, etc.)
- Customized/Adapted Classroom Furniture

Specialized Materials
- Braille Printer, texts in braille
- Audio/visual learning tools
- Diagnostic Assessments

Human Resources
- Additional Specialized Teachers/Aides



Image Source: UNICEF (2014)

How can education planning offset the cost on families with children with disabilities?

Inclusive education reduces transportation costs for families as children can be in the same school	Subsidize assistive devices through Ministry of Health or provide services in school	School Feeding Programs incentivize attendance for all students	Subsidized Public Transportation for People with Disabilities	Sharing of specialized resources between schools with students that need them
Create peer-mentoring support programs	Convert Special Schools into Resource Centers to support clusters of schools with specialized services	Create and support Multi-Age and Multi-Ability Classrooms	Build parent and community capacity, as well as resource sharing system	Connect teachers in training with inclusive schools for student teaching experience

9 Risks and Rewards

Service Delivery - Demand

What are potential risks in inclusive education settings?

Inclusive education can have long-term educational, social and economic impacts, either positive **(rewards)** or negative **(risks)**. Indeed, some risks and potential issues can arise when inclusive education is implemented. This has a significant influence on the **demand for inclusive education.** Therefore, inclusive education sector plans have to take this into account to anticipate the risks and ensures the rewards of inclusive education are actually realized.

Major risks children with disabilities may face in regular schools include isolation, intolerance, insecurity and bullying.

Learning Materials

Bullying is a learned pattern of interaction and behaviour resulting in vulnerable children being mistreated and victimised, with long-lasting effects.

- For children with disabilities, isolation is major risk factor for **intolerance** and often bullying too.
- In some cases, schools can be quite **unsafe environments** for vulnerable children, children with disabilities, classmates, and teachers.

Therefore, taking into account these risks and potential issues is key for inclusive education planning, especially by:

- Supporting **effective leadership** from school principals, including effective communication with staff, parents/ guardians and children
- Including disability-sensitive behaviour management, conflict resolution, positive and collaborative **attitudes** (see Sheet #5 and #11) in **teacher training**.
- **Raising awareness** of parents on bullying, including cyber-bullying.

The main "risk" associated with inclusive education is that it is not well **implemented**. Placing children with and without disabilities in the same classroom without the **enabling environment** and **appropriate service delivery** described in these 13 reference sheets can have damaging effects on all children (feelings of isolation, conflict, perpetuated segregation, degraded learning outcomes, etc.). Lack of support for teachers and parents can lead to low moral, a sense of being unsuccessful, and eventually to teacher attrition.



Image Source: UNICEF (2014)

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What are the rewards of inclusive education?



Improved Learning Environment and Outcomes for All

Inclusion of children with disabilities in school can lead to greater educational **quality** as the pedagogy teachers use becomes more child-centred and benefits all children (see Sheet #5).

Children with disabilities can be provided with better **opportunities for progression** in inclusive classrooms. They improve their social skills and academic outcomes, as they can access a wider curriculum (see Sheet #8) and higher expectations are set for them.

By widening the spectrum of the school population, teachers and school personnel are more likely to develop an **inclusive** and **collaborative culture** for themselves too.



Economic Empowerment

Lack of adequate education remains the key risk factor for poverty and exclusion for children with and without disabilities. Children with disabilities however face higher risks of **long-term** and **life-long poverty due to exclusion** from education.

Children with disabilities can be **contributors** and not only burdens on society. Providing quality inclusive education in the long-term can reduce dependency on the State and promote their potential economic capacity.

Today a lot of potential wealth is lost due to insufficient investment in education for children with disabilities. Investing in inclusive education is therefore very **cost-effective** (see Sheet #4).



Social inclusion and enhanced citizenship

By allowing children with and without disabilities to develop meaningful relationships at school, inclusive education fosters their **confidence** in their ability to **interact** with one another and the world around them.

Inclusive education helps to make all children realize that they are part of a community and that they can contribute to it in their own way. Therefore, it helps to build a more **inclusive**, **tolerant** and **respectful society**.

Inclusive education is a stepping stone towards **improved democratic participation** and **citizenship**for all.

10 Laws and Policies

Enabling Environment

International conventions

1989 CRC

The **Convention on the Rights of the Child (CRC)** addresses children's rights. Article 2 introduced an explicit obligation of governments to ensure **equal rights** for all and **non-discrimination.** Article 23 addresses the rights of children with disabilities to access education in a way that promotes their **social inclusion.**

The CRC General Comment 9 on the Rights of Children with Disabilities (2006), further stressed that **inclusive education** must be the ultimate goal of educating children with disabilities.

1994 Salamanca Statement

Salamanca Statement and Framework for Action introduces the guiding principle that ordinary schools should accommodate all children, regardless of their physical, intellectual, social, emotional, linguistic or other conditions.

2006 CRPD

The **Convention on the Rights of Persons with Disabilities (CRPD)** explicitly recognized persons with disabilities as rights holders and thus paved the way for a **"human rights" model of disability.** Article 24 stresses the obligation of governments to guarantee the right of children with disabilities to access an "inclusive, quality and free primary education and secondary education on an equal basis with others in the communities in which they live". It also introduces a range of obligations to remove the barriers to learning these children may face and to provide **"adequate support"** to maximize socioeconomic development.

2015 SDGs

The **Sustainable Development Goals (SDG)** and **Education 2030 framework** have made disability inclusion a priority. Disability is tackled by SDG 4, 8, 10, 11, 17.

Within SDG 4 (on education), outcome **targets 4.5** (on equal access) **and 4.a** (on education facilities) specifically address inclusive education.

2016 General comment 4

The **CRPD General Comment 4 on Education** further developed the key concepts set out by the CRPD such as **"reasonable accommodation"** to children's needs in regular classrooms and in their communities. It also states the necessity for learning environments to become entirely available, accessible, acceptable and adaptable for all children ("**4As**") as required by the principle of **"progressive realization"** which stresses the need to move away from segregated education systems.



Image Source: UNICEF (2014)

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Mainstreaming disability inclusive education within the legislation



Constitutional provisions (equal rights, non-discrimination) can provide a more favourable environment to inclusive planning. **Complaints and redress mechanisms** should also be in place when the rights of children with disabilities are violated.

A national disability law mainstreaming the CRPD into national legislation may be favourable to inclusive planning. A national education law that is inclusive of disability can be helpful, especially if inclusive education is seen as a **change of paradigm** and not as a disability-specific policy objective of fitting children with disabilities within an existing system.

Policies that clearly define inclusive education and disability-inclusive education in line with international conventions can lay the groundwork for inclusive planning. Inclusive education, which is responsive to the needs of all learners in a community, should be distinguished from rehabilitation and assistance and should be clearly stated as the **prerogative of the Ministry of Education.**

Implementation regulations plainly setting out the processes of administrative and inter-ministerial organization, data collection, financing, monitoring and overall management of inclusive education can facilitate **context-specific implementation**. Regulations should promote a **coordinated approach** to inclusive education that involves **communities**.

Guidance documents and **guidelines** (on screening practices, inclusive pedagogy, school management, etc.) that define clear **standards and expectations** for inclusive education can also be helpful.

11 Data & Evidence

Enabling Environment

Why collect data and what for?



Disability has often been defined as a physical, mental, or psychological condition that limits a person's activities. Yet, disability should not be defined only according to a medical model. Children with disabilities should not be seen as healthcare recipients but primarily as children facing many **social barriers**, especially in educational contexts.

WHO's **International Classification of Functioning, Disability and Health (ICF)** (2001) and its version for children and youth (ICF-CY, 2007) is regarded as the framework of reference for the classification and description of disability. The ICF addresses disability in terms of **functional limitations** (whether a child can or cannot walk, see, hear, etc. with more or less difficulty), **environmental barriers** (non health-related factors hindering the child's development) and **participation restrictions** (difficulty of the child to participate in education and society).

The concept of "participation" is essential to inclusive education as it shifts the focus from medical diagnoses to the identification of children's strengths and barriers to learning in specific educational contexts.

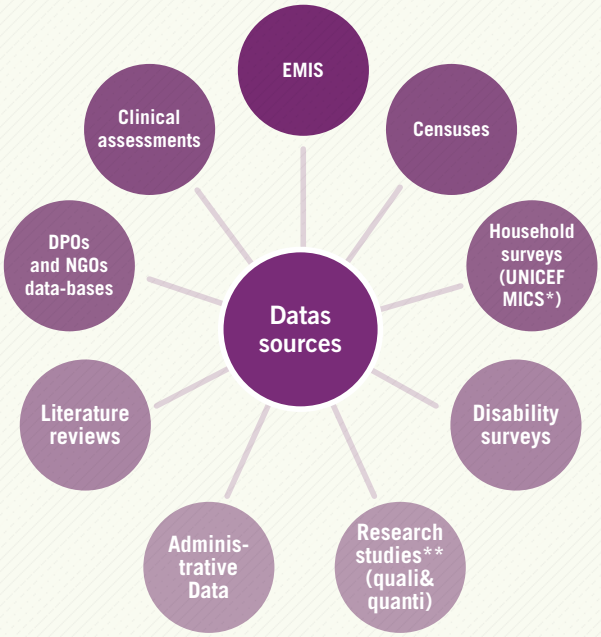


The **Washington Group on Disability Statistics** and **UNICEF** have recently addressed the need for internationally comparable and reliable data on children with disabilities. They have jointly developed a "Module on Child Functioning and Disability" and a "Module on Inclusive Education", under development, which are widely recognized as a standard for the measurement of child disability.

Which data need to be collected and how?

Data should be collected through an Education Management Information System (EMIS)	
Identification of children with disabilities - Functional profile & severity - Placement: special/regular school, special unit, care centre	**School accessibility and material barriers to learning** - Accessible roads, transport, ramps, toilets etc.
Human resources and services - Teachers trained in inclusive education - Provision of learning support & learning materials	**Education indicators disaggregated by disability** - Enrolment, dropout, completion (by sex) - Learning outcomes of children with disabilities

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Data needs to be collected on how many children with disabilities are in school, how many experience **barriers to learning** and how the wider environment affects their participation in school and in their communities. Different data sources can be used to collect data on children with disabilities who are in school and out of school.

* The **Multiple Indicator Cluster Survey (MICS)**, UNICEF's tool for assessing the well-being of children, has optional questions on disability that have been included in a number of countries.

**Links between the MoE and Universities' Education Departments should be developed to strengthen domestic research.

Why collecting data and what for?

- Data on child disability and inclusive education can be most effectively utilized when they are properly analysed, interpreted and disseminated to the right audience.
- Furthermore, there is a need to collect such information over time to support monitoring, evaluation and quality assurance of inclusive education policies and programs and facilitate appropriate planning responses (see Sheet #3).



Image Source: UNICEF (2014)

12 Leadership and Management

Enabling Environment

Leadership and Management Capacity

Organizational structures and **management** processes can create a context that supports quality inclusive education across communities and regions. Inclusive education also works better when it is backed by strong **leadership**, willing to initiate meaningful and sustainable changes for greater inclusion.

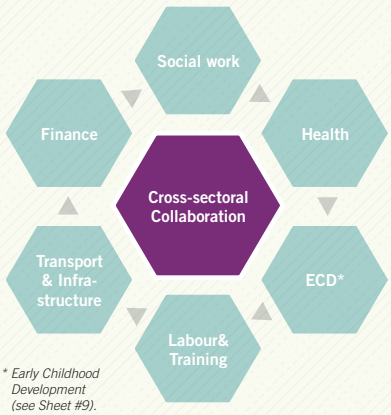
At central level, the education of all children with disabilities falls under the responsibility of the Ministry of Education. This ensures that the principles of access, equal rights and non-discrimination are respected (See Sheet #10).

At subnational levels, devolution of responsibilities enables services to be better adapted to local needs and allows for greater accountability when local officials are provided with capacity-building together with dedicated budgets for inclusive education.

At school level, strong commitment and leadership is very important and can be especially helpful in overcoming limited resources. School leaders directly oversee building an inclusive environment through engaging parents and community members, providing additional support to students, teachers, and families. They are instrumental in changing attitudes regarding inclusion.

Cross-Sectoral Coordination

- Inclusive education policies rely on strong **collaboration** with a number of ministries **beyond the education sector.**
- Without **coordinated action** across all relevant ministries, it is not possible to build and support a **consistent culture of inclusion.**



* *Early Childhood Development (see Sheet #9).*

Develop a national plan of action in which all relevant ministries have a common understanding of and shared agenda for inclusive education

Identify a lead agency with a nominated focal point to provide leadership and guidance as part of the process

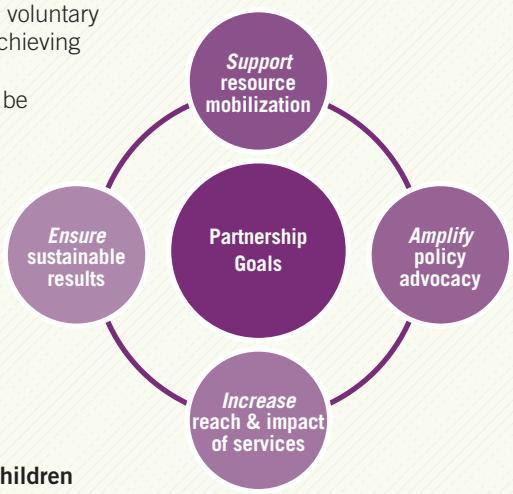
Maintain a close liaison between ministries that share the inclusive education agenda

Strengthen cross-sectoral community-based services

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Partnerships and advocacy

- **"Nothing about us without us"**: this means persons with disabilities need to be included in all conversations, policy development and partnerships. Partnerships are voluntary and collaborative work relationships are key to achieving a common agenda. **Partnerships** with **Disabled People Organizations** (DPOs) especially have to be developed.
- Other potential partners also include: regional organizations, **Civil Society Organizations** (CSOs), families, religious and faith-based organizations, NGOs, neighbourhood and **community groups**, social media groups, the private sector, clubs and especially youth clubs.
- Communities often have many of the resources and assets needed to create successful partnerships. However, providing support and regular training to them and creating a friendly institutional environment can help to **empower children with disabilities and their families** to advocate on their own behalf.
- Professional organizations & teachers unions are likely to have mixed views but are important in the consensus building process.



Monitoring and evaluation

Monitoring means tracking processes (teacher training, budget allocations, etc.) and outcomes (learning outcomes, learner experience, etc.) to make sure that the planned actions are taking place and that they are having the desired effects.

Evaluation, which is more detailed, measures the longer-term outcomes of inclusive education policies and programs. Appropriate information systems are therefore a key part of inclusive education monitoring and evaluation (see Sheet #2).



Image Source: UNICEF (2014)

13 Financing Inclusive Education

Enabling Environment

Where does financing for inclusive education come from?

International NGO and donor support for disability-inclusive education has increased in the past few years.

Domestic funding for inclusive education is often low and/or inadequate.

Households can be high contributors to inclusive education.



Excluding children with disabilities from education negatively impacts economic growth and generates significant social costs. Segregation of education systems is also financially unviable as it in efficiently duplicates structures and services. On the contrary, inclusion generates education a land socioeconomic benefits.

Inclusive education does not have to be costly as a majority of children with disabilities can be educated in regular schools with only minor adaptations*.

** For examples of cost-saving adaptations: see Sheet #12.*

Inclusive education can work even in resource-poor areas, with significant benefits for the whole community. Indeed,costs can be mitigated through resources haring, loan and support systems incluster schools.

Where does financing for inclusive education come from?

Inclusive budgeting for education means inclusive education is mainstreamed in the overall financing of education, with:

- Clear budget lines and items dedicated to the education of children with disabilities,
- Clear difference between funds allocated to special schools and to regular inclusive schools.

Many different funding models and methods can be applied to inclusive education. Though none can be said to be universally better than the others, it is important to take into account the different **advantages** and disadvantages, incentives and **disincentives** each model creates.

Working Document originally created by IIEP-UNESCO and UNICEF for reference during the Foundations of Disability-Inclusive Education Sector Planning Technical Roundtables (2018) and online course (2020) based on the UNICEF Inclusive Education Webinars- Companion Technical Booklets (2014).

Decentralization of funding to the district or school level can to some extent enable services to better adapt to local needs and support innovative practices.

Flexibility and context-specificity in the funding allocation can further improve the service delivery as every child is unique and may need different supports than a classmate with a similar disability.

Transparency and accountability helps to ensure effective use of funds through appropriate monitoring and evaluation mechanisms, such as consistent reporting of expenses into a central database.

Innovative financing practices such as public-private partnerships* or earmarked taxes** can help promote greater inclusion.

** Public-private partnerships are a form of collaboration between a government agency and the private sector in the financing and delivery of services to the public (here education);*
*** Earmarked taxes are taxes raised and allocated to specific expenditure programs.*

What are the key steps towards inclusive education financing?

(1) **Assessment of the total costs of the education of CWD***

(2) **Assessment of the costs government may take up**

(3) **Prioritization of inclusive budget items**

(4) **Costed inclusive Education Sector Plan**



Image Source: UNICEF (2014)

(1) The costs of different items of spending are clearly identified (cost of special schools, accessibility, materials, staffing, etc.). The recently developed **"National Education Accounts"** methodology (UNESCO, UIS, IIEP) can be useful as it helps to determine who pays for what in the current system.

(2) By assessing the costs the government can take up, it is possible to determine which budget can be available for the education of children with disabilities **across Ministries** (compared with the costs supported by NGOs, parents, etc.)

(3) **Prioritization** of budget items are made according to the **policy framework** in place.

(4) An inclusive Education Sector Plan that includes **reliable budget estimations** allows for more effective implementation.

**CWD: children with disabilities*

United Nations Educational, Scientific and Cultural Organization | International Institute for Educational Planning | unicef

ANNEX 11.4

Questionnaire to Assess Local System Capacity to Implement Disability-Inclusive Education – for District Offices of Education Staff Working on Inclusive Education (Ghana)

Legislation and policies

	Proposed Rating: (Championing = 4; Established = 3; Initiating = 2; Weak = 1)	Notes/ Comments/ Examples
General legislation/policies		
1. Every child has the right to protection from discrimination on grounds of disability.		
2. Children with disabilities and their families are able to seek redress if they experience discrimination or other violations of their rights.		
3. The right of every child to live with their family is recognized in legislation.		
4. Children with disabilities are cared for and supported within their families or substitute family environment.		
5. Children are protected from all forms of violence in schools.		
6. Children have a right to democratic participation in schools and to be consulted on education policy.		
Specific legislations/policies		
1. Every child has the right to education.		
2. The disability-inclusive education framework is compliant with relevant international human rights standards.		
3. Legislation provides a definition of disability-inclusive education and its objectives.		
4. Teachers, including teachers with disabilities, are supported to work in disability-inclusive education settings.		
5. A government-wide and coordinated approach to disability-inclusive education is in place.		
6. All schools are required to be accessible.		
7. Children with disabilities are provided with reasonable accommodations to support their participation in education.		
8. Children with disabilities learn same curriculum content as their peers without disabilities.		
9. Children with disabilities should achieve same learning targets as their peers without disabilities.		
10. Children with disabilities are assessed using different formats which are suitable to their needs.		

Responsibility for education of all children

- Who has responsibility for the education of all children (including pre-primary level)? Does it rest with the education ministry?
- Does the education ministry have responsibility for overseeing policy implementation, review, coordination, monitoring and evaluation, and impact assessment?
- Are the administrative, managerial, financial and policy frameworks for education of children with disabilities located with the education ministry?
- Does the education ministry oversee the development/review of training and professional development of all educational personnel in collaboration with all key stakeholders?
- Does the ministry have a delineated budget for disability-inclusive education?

Coordination across government

- Does the ESP establish a coordinated policy across government for disability-inclusive education?
- Has the education ministry identified a nominated focal point to provide leadership to the process across ministries?
- Which government ministries are included (e.g. finance, transport, planning, social welfare, health and justice) in these efforts?
- What accountability measures have been put in place to ensure that cross-departmental commitments are upheld?
- Which ministry is responsible for reporting on disability-inclusive education?

Devolved governments structures

- Are national policy frameworks for disability-inclusive education in place to support the policy, practice and culture of inclusion across all levels of the mainstream system?
- Is inclusion and accessibility mentioned/included in general education laws, policies and action plans?
- Are principles of universal entitlement to disability-inclusive education established at national level, and supported by clear guidance on how they must be applied at the local level?
- Have resources been devolved to support implementation at local level to enable investment in the necessary services and programs?
- Have local officials been provided with capacity-building on disability-inclusive education policies and their application at local level?
- Are transparent reporting and enforcement mechanisms in place to ensure accountability at all levels of government?
- Has the government introduced incentives for innovative and promising practices that build on local strengths?

ANNEX 11.5

Questionnaire to Assess Local System Capacity to Implement Disability-Inclusive Education – for Teachers (Ghana)

A. Background

1. What is your role in this school?

a. ☐ headteacher (*if headteacher jump to item 4)

b. ☐ teacher

2. If you are a teacher, where do you teach?

a. ☐ Special school

b. ☐ Regular school

c. ☐ Other – please specify

3. Which of the following type of teacher are you?

a. ☐ special education teacher

b. ☐ resource teacher

c. ☐ regular teacher

4. How long have you been heading the school?

a. ☐ 0-2 years

b. ☐ 3-5 years

c. ☐ 6-9 years

d. ☐ 10-15 years

e. ☐ 15+ years

5. How long have you been working as a teacher?

a. ☐ 0-2 years

b. ☐ 3-5 years

c. ☐ 6-9 years

d. ☐ 10-15 years

e. ☐ 15+ years

6. Do you have a disability? ☐ Yes ☐ No

If yes, please specify

B.Views about Disability-Inclusive Education

7. Are you aware of Ghana's Inclusive Education Policy? ☐ Yes ☐ No

8. For each of the following statements, please indicate
(SA = Strongly agree, A = Agree, NS = Not sure, D = Disagree, SD = Strongly disagree):

a. I am in favour of disability-inclusive education.

b. Inclusive education will be beneficial to pupils with special needs/disabilities.

c. Inclusive education will benefit pupils without special needs/disabilities.

d. Inclusive education is the best educational practice to educate pupils with special needs/ disabilities.

e. Education in special schools is the best educational practice to educate pupils with special needs/disabilities.

f. All pre-service teachers must have teaching practice/internship in an inclusive setting.

g. All teachers should be trained and prepared to teach all pupils with diverse learning needs/ disabilities in an inclusive setting.

C. Teacher Knowledge

9. Do you have adequate knowledge of/in the following?

a. Using varied learning activities to engage a diverse range of learners ☐ Yes ☐ No

b. Meeting the needs of learners seen as having behavioral difficulties ☐ Yes ☐ No

c. Meeting the needs of learners who are blind or have low vision ☐ Yes ☐ No

d. Meeting the needs of learners who are deaf or hard of hearing ☐ Yes ☐ No

e. Meeting the needs of learners with learning disabilities ☐ Yes ☐ No

f. Meeting the needs of learners with physical disabilities ☐ Yes ☐ No

g. Assessing, testing or evaluating the learning of children with disabilities ☐ Yes ☐ No

D. Teacher training

10. Have you had any training in disability-inclusive education? ☐ Yes ☐ No

a. If yes, please specify (If no, continue to question 12.)

b. Pre-service or in-service? ☐ P ☐ I

c. If In-service please specify who provided the training by selecting from these options: Ghana Education Service (GES), NGO, faith-based organization, other

d. For each training state the following:

i. Month and year you took the course (e.g. November, 1990)

ii. Duration of the course (e.g. 1 day/1 week/1 month)

11. During your training in disability-inclusive education, in which of the following did you receive some training?

a. Students with emotional and behavior disorder

b. Students who are deaf or hard of hearing

c. Students with vision problems (blind or low vision)

d. Students with physical disabilities (mobility challenges)

e. Students with learning disabilities

f. Students with autism

g. Students with multiple disabilities

h. Students with blindness

i. Students with intellectual disabilities

j. Other trainings – please specify

12. In your view, has your training in disability-inclusive education provided you with adequate knowledge and skill to confidently teach the following? (Yes, Not sure, No)

a. Students with emotional and behavior disorder

b. Students who are deaf or hard of hearing

c. Students with vision problems (blind or low vision)

d. Students with mobility challenges (physical disability)

e. Students with learning disabilities

f. Students with autism

g. Students with multiple disabilities (e.g. deaf-blind, etc)

E. Bottlenecks

13. As a teacher, which of the following difficulties/challenges do you face when delivering disability-inclusive education successfully in your classroom? (** jump to item 14 if you are a headteacher*)

a. I don't get any special recognition for delivering disability-inclusive education in my classroom.

b. The class size is too large for me to deliver disability-inclusive education in my classroom.

c. Teaching-learning materials are insufficient for teaching.

d. Appropriate teaching/learning materials are not available.

e. The school does not provide the necessary support for my work.

f. The community does not support sending children with disabilities to school.

g. The school does not have a welcoming environment for disability-inclusive education.

h. The school infrastructure is not accessible for children with disabilities.

i. I need more training to teach children with disabilities.

14. As a headteacher, which of the following difficulties/challenges do you face when managing the delivery of disability-inclusive education successfully in your school?

a. I don't get any special recognition for delivering disability-inclusive education practice in my school.

b. The class size is too large for my teachers to deliver disability-inclusive education in their classroom.

c. Teaching-learning materials are insufficient for teaching in the school.

d. Appropriate teaching/learning materials are not available in the school.

e. The district education office does not provide the necessary support for my work.

f. The community does not support sending children with disabilities to school.

g. The school infrastructure is not accessible for children with disabilities.

F. Solutions

15. Which of the following would help you to deliver disability-inclusive education successfully in your class/school?

a. Teacher incentives

b. Smaller class size

c. Adequate teaching/learning materials

d. Availability of appropriate teaching/learning materials

e. Support from school authorities

f. Community engagement

g. Disability-friendly environment

h. Accessibility for children with disabilities

i. More exposure to disability-inclusive education practice

j. In-service training on how to teach children with disabilities

k. Other (please give 3 suggestions to improve your performance to ensure inclusion of students with disabilities in school)

ANNEX 11.6 Questionnaire to Assess Local System Capacity to Support Implementation of Disability-Inclusive Education – for Teachers, Parents and Students (Ghana)

You are invited to participate in this study regarding Assessing Local System Capacity: Disability-Inclusive Education in COUNTRY.

The survey includes a demographic section as well as a section asking questions about your general view regarding inclusive education. The findings will be used to provide improved implementation of disability-inclusive education and quality education in COUNTRY.

Please tick the answers which describes the situation or reflects your view. Please answer every question.

1. Which of the following positions do you hold?

a. District Coordinating Director

b. District Director of Education

c. District Special Education Coordinator

d. District Director in Charge of Training

e. Circuit Supervisor

2. Which of the following describes your gender?

f. Male

g. Female

3. State which of the following ranking best describes the state of disability-inclusive education in your district in terms of **legislation and policy**: 1 = Weak, 2 = Initiating, 3 = Established, 4 = Championing.

a. Every child in the country has the right to protection from discrimination on grounds of disability.

b. Children with disabilities and their families are able to seek redress if they experience discrimination or other violations of their rights.

c. The right of every child (including those with disabilities) to live with their family is recognized in legislation.

d. Children with disabilities are cared for and supported within their families or substitute family environment.

e. All children (including those with disabilities) are protected from all forms of violence in schools.
f. All children (including those with disabilities) have a right to democratic participation in schools and to be consulted on education policy.
g. Every child has the right to education.
h. Legislation provides a definition of disability-inclusive education and its objectives.
i. The following government ministries are included (e.g. finance, transport, planning, social welfare, health and justice) in efforts of implementing disability-inclusive education at the district level.
j. Accountability measures for disability-inclusive education have been put in place to ensure that cross-departmental commitments are upheld.
k. The MOE is responsible for reporting on disability-inclusive education.
l. All schools are required to be accessible.
m. Children with disabilities are provided with reasonable adaptations to support their participation in education.
n. Children with disabilities learn the same curriculum content as their peers without disabilities.
o. Children with disabilities are expected to achieve the same learning targets as their peers without disabilities.
p. Children with disabilities are assessed using different formats which are suitable to their needs.
q. There are national policy frameworks for disability-inclusive education to support the policy, practice and culture of inclusion across all levels of the mainstream system.
r. Inclusion and accessibility are included in general education laws, policies and action plans.
s. Principles of universal entitlement to disability-inclusive education have been established at national level, and is supported by clear guidance on how they must be applied at the district level.
t. Transparent reporting and enforcement mechanisms are in place to ensure accountability at all levels of government.

4. In terms of **administrative issues**, please answer the following questions with Yes, No or Not sure:
a. Does the responsibility for the education of all children (including pre-primary level) mostly lie with the MOE?
b. Is there a government-wide and coordinated approach to disability-inclusive education?
c. Has the ESP established a coordinated policy across government for disability-inclusive education?
d. Does the Ghana Education Service have a nominated focal point to provide leadership to the process across departments at the district level?
e. Does the Ghana Education Service have responsibility for overseeing policy implementation, review, coordination, monitoring and evaluation and impact assessment at the district level?
f. Are teachers, including teachers with disabilities, supported to work in disability-inclusive education settings?
g. Are the administrative, managerial, financial and policy frameworks for education of children with disabilities located with the education ministry?

5. In terms of **finance**, please answer the following questions with Yes, No or Not sure:

a. Does the MOE provide a specific budget for disability-inclusive education at the district level?
b. Have resources been devolved to support implementation at local level to enable investment in the necessary services and programs?
c. Are funds for disability-inclusive education released timely?
d. Do you receive the actual allocation of your budget that you have budgeted for?
e. Is the actual allocation you receive adequate for the disability-inclusive education activities?

6. In terms of competency, please answer the following questions with Yes, No or Not sure:

a. Have district officials been provided with capacity-building on disability-inclusive education policies and their application at district level?
b. Are there eligibility criteria for participating in such capacity-building programs?
c. Has the government introduced incentives for innovative and promising practices that build on local strengths for disability-inclusive education?
d. Does the Ghana Education Service oversee the development/review of training and professional development of all educational personnel in collaboration with other key stakeholders?
e. Does the district have qualified personnel to support parents to meet the needs of children with disabilities?

6. In terms of **competency**, please answer the following questions with Yes, No or Not sure:

a. Have district officials been provided with capacity-building on disability-inclusive education policies and their application at district level?
b. Are there eligibility criteria for participating in such capacity-building programs?
c. Has the government introduced incentives for innovative and promising practices that build on local strengths for disability-inclusive education?
d. Does the Ghana Education Service oversee the development/review of training and professional development of all educational personnel in collaboration with other key stakeholders?
e. Does the district have qualified personnel to support parents to meet the needs of children with disabilities?

ANNEX 11.7 Sources, Types, and Use of Available Disability Data

Before any data analysis can be performed, it will be necessary to understand what data is available that is relevant to the education of children with disabilities. Table 11.13 offers an overview of the main data sources for information on children with disabilities and what type of information each may (or may not) provide. For administrative data systems, the assessment is based on the analysis of a sample of 40 EMIS questionnaires, acknowledging that other types of administrative data systems are in place in some countries.[81] Table 11.14 then shows how data collected in these different data systems might be used to analyze and offer insights into the situation of children with disabilities in education, as well as the limitations of some of the data.

TABLE 11.13 Suggested Checklist to Assess Existing Partnerships with Non-State Actors

Data source	Children enrollment, progression and learning	Environment and resources, including material and human resources	Attitudes towards children with disabilities
EMIS or other administrative data systems	• Numbers by type of disability of children in school collected by around half of EMIS; categorization varies in terms of types and severity of disability covered. • Almost all (80-90 percent) EMIS systems with information on disability collect information on disability by grade and sex, but almost none collect information on repetition. • Reasons for dropout are sometimes collected but not linked to disability unless it is a student-based EMIS. • Where exam results are recorded in the EMIS questionnaire, information on the disability status of exam-takers is generally not included.	• A broad majority of EMIS will have some information on the school environment (e.g. furniture, toilets, equipment). Data on specific infrastructure or materials for children with disabilities are very rarely available. • EMIS often collect information on education staff, including job titles, pre-service training and sometimes in-service training. Job titles may include clear reference to education for children with disabilities in systems that have specialized staff (not all do), with job titles such as "teacher for visually impaired" or "special needs advisor". • Information on training is unlikely to include enough detail to assess whether teachers are equipped to deliver disability-inclusive education.	No information collected on attitudes towards children with disabilities.
Surveys and censuses	• Disability status (medical or social model, some using the Washington Group set of questions) collected in at least a third of countries by either surveys/censuses that are less than 10 years old, helping link disability and educational status. • A small number of surveys/ censuses, though they do not collect systematic data on disability, do ask about the disability status of unemployed persons or school dropouts. • No information is provided on learning outcomes or services provided by the school.	• Some of the surveys/censuses provide information on distance to school. Some also provide information on the causes of school non-attendance or dropout that can be linked to disability status and environmental, attitudinal or other factors.	• Some surveys/ censuses provide information on the causes of non-attendance/ dropout that can be linked to disability status and attitudinal or other factors. • The Serbia MICS collected information on attitudes towards disability (inclusion in families, schools, and future prospects for children with disabilities). This is, however, very rarely available.

81 This will be the case, for example, in some countries in Eastern Europe. Note that the type of data found in EMIS systems and other data systems may be relatively similar, given that the source of data (administrative records) is the same.

Learning assessment / examinations	• Very few learning assessment surveys (essentially only some PASEC surveys) explicitly ask questions regarding children with disabilities. Most exclude all or most children with disabilities from the sample (e.g. PISA, TIMSS, PIRLS). Few examinations databases include data relevant to disability. • The quality of the data may be low, revealing much on perceptions and understanding of disability as on children with disabilities themselves.	• A majority of learning assessment surveys have information on the school environment. It is extremely rare, however, for that information to include questions on specific materials or infrastructures for children with disabilities.	• Learning assessment surveys often provide some information on teachers' practices and perceptions, as well as on their training. Though these are not specific to children with disabilities, it can give an indication of how much teachers' profiles, attitudes and practices are likely to promote inclusion of children with disabilities.
Other data and information sources	• Specific studies on children with disabilities may provide some information on numbers and types of disability. • Out of school studies may provide information on disability, generally computed from one of the other sources mentioned above (EMIS, household surveys and censuses).	• The MOE should have information on existing norms for school buildings or school environments. It may also have information on ongoing efforts to rehabilitate school buildings and whether this includes adaptations to make them more disability friendly. • Teacher training institutions should have information on the pre-service training curriculum. Information on in-service training may be available at the MOE or institution level or through NGOs providing specific courses.	• Specific studies on disability or other studies (e.g. perceptional surveys including questions on disability) may provide additional information.

TABLE 11.14 Use of Data on the Education of Children with Disabilities

Category	*Type of information (data source)*	Indicators computed / use of data	Limitations
Enrollment status	Disability and education status of all children *(over a third of household surveys, censuses)*	OOSC rates, preschool for children with or without disabilities – by disability type, gender/ location/wealth, etc. Never/late entry, dropout for different age ranges. Progression of children with or without disabilities through the levels of education. Share of OOSC that have a disability.	Small sample of children with children with disabilities. Preschool not always included. Varied definition of disability and instruments – medical model, lack of standardization.
	Disability status of OOSC only *(some household surveys, censuses)*	Share of OOSC that have a disability.	Varied/no definition of disability. May signal perceptions of disability as equal to not attending/dropout.
	Number of children in school with a disability, by grade and sex *(half of EMIS)*	Proxy of transition, dropout and survival for children with disabilities. Comparison with other children. May help distinguish children in normal classrooms, specialized classes within mainstream schools, or specialized schools.	Only children in school. Most often no repetition data: need for proxies for survival/transition. EMIS respondents' perception/ understanding of disability vary.
	OOSC and disabilities *(some OOSC studies)*	Description of who the children out of school are including information on disability.	OOSC studies tend to rely on household surveys, census & EMIS data: same limitations as these data sources.

Enrollment status	Exam results of children with disabilities *(very few EMIS or examination databases)*	Comparison of outcomes with and without disability.	EMIS respondents' perception/ understanding of disability vary.
	Information on disability status and learning outcomes of test takers *(some PASEC, maybe other surveys)*	Comparison of outcomes with and without disability, linking this to other factors (student- or school-related).	Respondents' difficulty to identify disability – low data quality.
School physical environ-ment and resources	General information on school environment: equipment, furniture, infrastructure, etc. May include some information on the broader context *(most EMIS, learning assessments)*	Availability of basic commodities/infrastructures essential for children with and without disabilities (e.g. toilets).	Very generic information.
	Information on resources specific to children with disabilities *(very few EMIS, censuses or surveys)*	Availability of specific resources for children with disabilities.	Rarely available.
	Distance from school to home *(some household surveys, censuses)*	Physical barriers children face, links with disability and educational status of children.	Small children with disabilities sample hampers analysis of links with disability status.
	Reasons for dropout, non-attendance *(some household surveys, censuses)*	Physical, financial, attitudinal and other barriers children with and without a disability face.	
	Reasons for dropout not linked to disability *(some EMIS)*	Broad understanding of barriers in the country that may affect children with disabilities and/or other children.	
	Information on norms for school buildings/ environment and any ongoing retrofitting/ rehabilitation projects for schools *(MOE)*	Some information on the theoretical school environment.	Not all schools are built by the government or fall under existing norms. Theory and practice may differ.

Teachers and staff	Job titles of education staff *(EMIS, human resource database)*	Information on specialized staff.	Note that not all countries have such staff.
	Duration, title of pre-service and in-service of education staff *(EMIS, human resource database, teacher training institutions, learning assessments)*	General information on share of teachers trained can be cross-referenced with information on the contents of training to assess adequacy of training to respond to the needs of children with disabilities.	
	Contents of pre-service/ in-service *(teacher training institutions, government/NGO in-service providers)*		
	Teacher/headteacher pedagogic practices, perceptions, not specific to disability *(some studies, learning assessments)*	General information on practices and perceptions.	Often very generic information (e.g. child centeredness) unless a specific study was undertaken.
	Teacher/headteacher inclusive practices, perceptions of disability *(perception surveys, specific studies)*	Barriers/enabling factors encountered by children with disabilities.	
Attitudes towards children with disabilities	Reasons for dropout, non-attendance *(some household surveys, censuses)*	Physical, financial, attitudinal and other barriers children with and without a disability face.	
	Attitudes to disability *(Serbia MICS, specific studies, perception surveys)*	Barriers/enabling factors encountered by children with disabilities.	

ANNEX 11.8

Questionnaire about Attitudes towards Inclusive Education – for Teachers or adapted to other relevant parties (Ghana)

A. General Questions

1. Please indicate the extent to which you agree or otherwise with the following statements (Strongly agree, Agree, Disagree, Strongly disagree):

a. I am in favour of disability-inclusive education.
b. Inclusive education will be beneficial to pupils with special needs/disabilities.
c. Inclusive education will benefit pupils without special needs/disabilities.
d. Inclusive education is the best educational practice to educate pupils with special needs/ disabilities.
e. All pre-service teachers must have teaching experience in an inclusive setting(s).
f. All teachers should be trained and prepared to teach all pupils with different special educational needs/disabilities in an inclusive setting.

2. How long have you been working as a teacher?

a. ☐ 0-2 years
b. ☐ 3-5 years
c. ☐ 6-9 years
d. ☐ 10-15 years
e. ☐ 15+ years

3. Do you have a disability? ☐ Yes ☐ No

a. If yes, please specify

4. Have you had any training in disability-inclusive education? ☐ Yes ☐ No

a. If yes, please specify which institution/organization provided that training, and when the training was organized.

5. On a scale of 1 to 5 (1 being the least) please rate the extent to which disability-inclusive education concepts and approaches were present in the training scheme.

B. Questions about the training you have received on disability-inclusive education

6. From what you can recall from the training, do you have adequate knowledge of/in the following?

a. Enabling more people to enter education, not including disabled people.
b. Enabling more people to enter education, including disabled people.
c. Using varied learning activities to engage a diverse range of learners.
d. Meeting the needs of learners with disabilities.
e. Supporting people with disabilities to become teachers.
f. Educating more children with disabilities in mainstream schools.

g. Meeting the needs of learners seen as having behavioral difficulties.
h. Meeting the needs of learners with audio-visual impairments.
i. Meeting the needs of learners with learning disabilities.
j. Meeting the needs of learners with mobility or physical coordination impairments.
k. Assessing, testing or evaluating the learning of people with disabilities.

7. Please indicate the extent to which you agree or otherwise with the following statements (Strongly agree, Agree, Disagree, Strongly disagree):

a. Emphasising inclusion and disability more strongly in teacher training would improve the inclusion of people with disabilities in education.
b. Urban teachers get better training and support to include people with disabilities than rural teachers.
c. The teaching profession's capacity is too weak at the moment to make any significant improvements in including people with disabilities.
d. The pre-service training's capacity is too weak at the moment to make any significant improvements in including people with disabilities.
e. There are pockets of good practice on training teachers to be inclusive and meet the needs of disabled people.
f. Exposing more teachers to inclusive classroom practice would lead to improvements in their capacity to teach inclusively.
g. Inclusive education has become stronger in teacher training recently.
h. Inclusive education has become less important in teacher training recently.
i. Inclusion of learners with disabilities has become stronger in teacher training recently.
j. Inclusion of learners with disabilities has become less important in teacher training recently.
k. Education policy is supportive of inclusive education for people with disabilities.
l. Teachers have generally increased their understanding of disability-inclusive education.
m. Teacher incentives and supervision encourage inclusive teaching practice for learners with disabilities.
n. Teacher incentives and supervision discourage inclusive teaching practice for learners with disabilities.
o. Others (what more do we need to do or improve in teachers' capacity to include people with disabilities in education?).

8. Please indicate the extent to which you agree or otherwise with the following statements (Strongly agree, Agree, Disagree, Strongly disagree):

a. I am confident in my ability to teach children with special needs/disabilities.
b. I have been adequately trained to meet the needs of children with special needs/disabilities.
c. I become easily frustrated when teaching students with special needs/disabilities.
d. I become anxious when I learn that a student with special needs//disabilities will be in my classroom.
e. Although children differ intellectually, physically and psychologically, I believe that all children can learn in most environments (in whatever is available).
f. I believe that academic progress is possible in children with special needs/disabilities.

g. I believe that children with special needs/disabilities should be placed in separate classrooms.
h. I am comfortable teaching a child that has mild to moderate disability. (Explain which category you are referring to.)
i. I have difficulty teaching a student with cognitive deficits.
j. I can adequately handle students with mild to moderate behavioral problems.
k. I have teaching/learning materials to support students with special needs/disabilities.
l. I would describe my school infrastructure as disability friendly.
m. My school environment is disability friendly.

9. Please indicate the extent to which you agree or otherwise with the following statements (Strongly agree, Agree, Disagree, Strongly disagree):
a. I find it difficult to overcome my initial shock when meeting people with severe disabilities.
b. I am afraid to look at person with a disability straight in the face.
c. I tend to make contacts with people with disabilities brief and I finish them as quickly as possible.
d. I would feel terrible if I had a disability.
e. I dread the thought that I could eventually end up with a disability.
f. Students who have difficulty expressing their thoughts verbally should be in regular classes.
g. Students who frequently fail exams should be in regular classes.
h. Students who need an individualized academic program should be in regular classes.
i. Students who are inattentive should be in regular classes.
j. Students who require communicative technologies (for example Braille and sign language) should be in regular classes.
k. My workload will increase if I have students with disabilities in my class.
l. It will be difficult to give appropriate attention to all students in an inclusive classroom.
m. I will be more stressed if I have students with disabilities in my class.
n. Students with disabilities will not be accepted by the rest of the class.
o. I do not have the knowledge nor skills required to teach students with disabilities.

ANNEX 11.9 Questionnaire for Children with Disabilities on their Educational Experience (Ghana)

1. Did you go to school in this academic year?	☐ Yes ☐ No
2. If *no*, did the reasons you never attended school or dropped out include any of the following (see right)? Rank the top three reasons from the list alongside: 1st reason: 2nd reason: 3rd reason:	**Possible Reasons:** a. No money for fees/uniform/books b. Poor quality of school/education c. Schools unsafe d. Illness e. Disability f. Parents/elders did not let me g. Had to work outside home or for household business i. Had to help in home/look after children j. School too far from home k. School conflicts with beliefs l. No female teachers m. Social unrest/insecurity n. Not interested o. Other (please specify)
3. Do you think all children have the right to go to school?	☐ Yes ☐ No ☐ Don't Know (DK)
4. Which part of school life do you like the most?	a) I enjoy learning b) I like playing with my friends c) I like my teacher d) Other or DK
5. Is there something you don't like about your school?	a) There is not enough light in the classroom. b) I cannot see well what the teacher writes. c) There are not enough seats in the classroom. d) There are too many students in my class. e) I cannot hear well. f) Other students don't like me/I don't feel accepted by my classmates. g) Teachers don't like me/don't treat me well. h) I don't have books/school supplies. i) I find it difficult to learn. j) I don't have friends at school. k) I am being punished by my teacher. l) I don't feel welcomed by my teacher. m) There is too much noise in the classroom. n) I don't have friends at school/I am being bullied. o) My classroom is too hot. p) I cannot move around the classroom/school. q) The school does not have a toilet/water. r) Other (please specify)

6. What could be done to improve your school? Please describe.	Provide response
7. Do your teachers care about your success at school?	☐ Yes ☐ No ☐ DK
8. Do your teachers help you learn?	☐ Yes ☐ No ☐ DK
9. Do you have books at home for you to read (excluding religious books and textbooks)	☐ Yes ☐ No ☐ DK
10. Do teachers make you feel welcome in the classroom?	☐ Yes ☐ No ☐ DK
11. How many days did your teacher miss your class last week?	☐ None ☐ One to two ☐ More ☐ DK
12. Does your school have safe drinking water facilities?	☐ Yes ☐ No ☐ DK
13a. Does your school have a functioning toilet?	☐ Yes ☐ No ☐ DK
13b. If yes, do you use a toilet in school?	☐ Yes ☐ No
13c. If no to 13b, why?	Provide response
14a. Does your school have areas where children play and socialize?	☐ Yes ☐ No ☐ DK
14b. Do you feel safe in those areas?	☐ Yes ☐ No ☐ DK
14c. If no to 14b, why?	Provide response

ANNEX 11.10

Questionnaire for Parents with Children with Disabilities in Regular Schools (Ghana)

A. BACKGROUND

1. What is your level of education?	☐ University ☐ Technical/vocational ☐ Senior high school ☐ Junior high school ☐ Primary ☐ Never attended ☐ Other (please specify)
2. What is your marital status?	a. Married b. Divorced c. Never married d. Other (please specify)
3. How many school age (4-17 yrs) children do you have?	Provide response
4. How many of your school going age children have disability?	Provide response
5a. Do all your children attend school?	Yes No Some of them Other (please specify)
5b. If *no*, why? (choose all that apply)	a) No money for fees/uniform/books b) Poor quality of school/education c) Schools unsafe d) Illness e) Disability f) Have to work outside home or for household business g) Have to help in home/look after children h) School too far from home i) Schooling conflicts with beliefs j) No female teachers k) Social unrest/insecurity l) Not interested m) Other (please specify)
6. What type of school do they attend?	Regular classroom in a regular school Special classroom in a regular school Special school for children with disabilities Other (please specify)

B. KNOWLEDGE

7. Are you aware every child (with or without disability) has the right to education in Ghana?	☐ Yes ☐ No ☐ DK
8a. Do you think children with disabilities will benefit from attending school?	☐ Yes ☐ No ☐ DK
8b. If *yes*, why? (choose all that apply)	a. Read and write b. Take care of themselves c. Get a job d. It's a child's right e. Other (please specify)
9. Do you agree with the following statements?	☐ Yes ☐ No Children with disabilities do not need to be educated Children with disabilities are not able to learn Schools cannot meet the needs of children with disabilities Children with disabilities would not be safe at school It would be bad to mix children with and without disabilities

C. SUPPLY-SIDE ISSUES

10a. Does your child need help to get to school?	☐ Yes ☐ No ☐ DK
10b. If *yes*, is this because (mark all that apply): Your child is too young to go alone It is too far to go alone It is unsafe to go alone	☐ Yes ☐ No Too young Too far Unsafe
11. How long does it usually take your child to get to school?	Less than 30 minutes 30-60 minutes More than 1 hour DK
12. Are the teachers willing to support your child with disabilities to learn in school?	☐ Yes ☐ No ☐ DK
13. Do the teachers provide any support to you as a parent of a child with disabilities?	☐ Yes ☐ No ☐ DK
14. Does the school have special services or assistance (speech therapist, support worker, sign language interpretation, etc.) that your child needs to attend school?	☐ Yes ☐ No ☐ DK
15. Does the school have assistive devices/technology (Braille textbook, hearing aid, wheelchair, etc.) that he/she needs to attend school?	☐ Yes ☐ No ☐ DK
16. Is it safe for your child to be at school?	☐ Yes ☐ No ☐ DK
If *no*, why? (choose all that apply)	a. No toilets/urinal b. No safe drinking water c. Bullying d. No ramps e. Corporal punishment f. Long distance to/from school g. Other (please specify)

D. DEMAND-SIDE ISSUES

17. Has your child with disabilities missed any days at school in the last month?	☐ Yes ☐ No ☐ DK
If *yes*, why? (choose all that apply)	a. Doesn't like school b. Bullying c. Assistive devices not available d. School is too far e. Teachers are not welcoming f. No money for school fees g. Other (please specify)
18. What will help to get your child with disabilities to go to school? (choose all that apply)	a. Transport to/from school b. Assistive devices (hearing aids, wheelchair, glasses, etc.) c. Safe and welcoming school environment d. Availability of special services (sign language interpretation, speech therapist, etc.) e. Scholarship/financial assistance to help cover the cost of tuition f. Other (please specify)

E. RECOMMENDATIONS

19. Should your child's teachers make him/her feel more welcome in the classroom?	☐ Yes ☐ No ☐ DK
20. Should your child feel more accepted by his/her classmates?	☐ Yes ☐ No ☐ DK
21. Should the school be more responsive with your child's education?	☐ Yes ☐ No ☐ DK
22. Do teachers mistreat your child at school?	☐ Yes ☐ No ☐ DK
23. Should parents contribute to or join communal labor to build ramps, accessible toilets, etc. to ease movement of children with disabilities in the school?	☐ Yes ☐ No ☐ DK

ANNEX 11.11

Questionnaire for Parents with Children without Disabilities (in regular schools) (Ghana)

A. BACKGROUND

1. What is your level of education?	☐ University ☐ Technical/vocational ☐ Senior high school ☐ Junior high school ☐ Primary ☐ Never attended ☐ Other (please specify)
2. What is your marital status?	a. Married b. Divorced c. Never married d. Other (please specify)
3. How many school age (4-17 yrs) children do you have?	Provide response
4. How many of your school going age children have disability?	Provide response
5a. Do all your children attend school?	Yes No Some of them Other (please specify)
5b. If *no*, why? (choose all that apply)	a) No money for fees/uniform/books b) Poor quality of school/education c) Schools unsafe d) Illness e) Disability f) Have to work outside home or for household business g) Have to help in home/look after children h) School too far from home i) Schooling conflicts with beliefs j) No female teachers k) Social unrest/insecurity l) Not interested m) Other (please specify)
6. What type of school do they attend?	Regular classroom in a regular school Special classroom in a regular school Special school for children with disabilities Other (please specify)

B. KNOWLEDGE

1. Are you aware every child (with or without disability) has the right to education in Ghana?	☐ Yes ☐ No ☐ Don't Know (DK)
2a. Do you think children with disabilities will benefit from attending school?	☐ Yes ☐ No ☐ DK
2b. If *yes*, why? (choose all that apply)	a. Read and write b. Take care of themselves c. Get a job d. It's a child's right e. Other (please specify)
3. Do you agree with the following statements?	☐ Yes ☐ No Children with disabilities do not need to be educated Children with disabilities are not able to learn Schools cannot meet the needs of children with disabilities Children with disabilities would not be safe at school It would be bad to mix children with and without disabilities
4a. Are you comfortable with your child learning in the same class with children with disabilities?	☐ Yes ☐ No ☐ DK
4b. If *no*, why?	a. A taboo in the community b. Takes too long to get to school and return home c. Fear of regular children being infected d. Other (please specify)
5a. Are you comfortable if your child supports a child with disability in travelling to/from school?	☐ Yes ☐ No ☐ DK
5b. If *no*, why?	a. A taboo in the community b. Takes too long to get to school and return home c. Fear of regular children being infected d. Other (please specify)
6a. Do you think children with disabilities will benefit from attending school?	☐ Yes ☐ No ☐ DK
6b. If *yes*, why?	• Read and write • Take care of themselves • Get a job • It's a child's right

ANNEX 11.12

Questionnaire for Parents with Children with Disabilities in Special Schools (Ghana)

A. BACKGROUND

1. What is your level of education?	☐ University ☐ Technical/vocational ☐ Senior high school ☐ Junior high school ☐ Primary ☐ Never attended ☐ Other (please specify)
2. What is your marital status?	a. Married b. Divorced c. Never married d. Other (please specify)
3. How many school age (4-17 yrs) children do you have?	Provide response
4. How many of your school going age children have disability?	Provide response
5a. Do all your children attend school?	☐ Yes ☐ No ☐ Some of them ☐ Other (please specify)
5b. If *no*, why? (choose all that apply)	a) No money for fees/uniform/books b) Poor quality of school/education c) Schools unsafe d) Illness e) Disability f) Have to work outside home or for household business g) Have to help in home/look after children h) School too far from home i) Schooling conflicts with beliefs j) No female teachers k) Social unrest/insecurity l) Not interested m) Other (please specify)
6. What type of school do they attend?	☐ Regular classroom in a regular school ☐ Special classroom in a regular school ☐ Special school for children with disabilities ☐ Other (please specify)
7. Why did you send your child with disability to a special school and not to a regular school? (choose all that apply)	a. Convenience b. Reduced education fee c. Welcoming nature of school d. Teachers handle students well e. Safe school environment f. Other (please specify)
8. How often do you visit your child at school (in a term)?	a. Once ☐ b. Twice ☐ c. Thrice ☐ d. Other (please specify)

B. KNOWLEDGE

9. Are you aware every child (with or without disability) has the right to education in Ghana?	☐ Yes ☐ No ☐ DK
10a. Do you think children with disabilities will benefit from attending school?	☐ Yes ☐ No ☐ DK
10b. If *yes*, why? (choose all that apply)	a. Read and write b. Take care of themselves c. Get a job d. It's a child's right e. Other (please specify)
11. Do you agree with the following statements?	☐ Yes ☐ No Children with disabilities do not need to be educated Children with disabilities are not able to learn Schools cannot meet the needs of children with disabilities Children with disabilities would not be safe at school It would be bad to mix children with and without disabilities in the same classroom/school

C. SUPPLY-SIDE ISSUES

12. Are the teachers willing to support your child with disabilities to learn and stay in school?	☐ Yes ☐ No ☐ DK
13. Do the teachers provide any support to you as a parent of a child with disabilities?	☐ Yes ☐ No ☐ DK
14. Does the school have special services or assistance (speech therapist, support worker, sign language interpretation, etc.) that your child needs to support his/her learning and staying in school?	☐ Yes ☐ No ☐ DK
15. Does the school have assistive devices/technology (Braille textbook, hearing aid, wheelchair, etc.) that he/she needs to support his/her learning and staying in school?	☐ Yes ☐ No ☐ DK
16a. Is it safe for your child to be at school?	☐ Yes ☐ No ☐ DK
16b. If no, why? (choose all that apply)	a. No toilets/urinal b. No safe drinking water c. Bullying d. No ramps e. Corporal punishment f. Other (please specify)

D. DEMAND-SIDE ISSUES

17. Has your child with disabilities missed any days at school in the last month?	☐ Yes ☐ No ☐ DK
If *yes*, why? (choose all that apply)	a. Doesn't like school b. Bullying c. Assistive devices not available d. Sick e. Teachers are not welcoming f. Other (please specify)

E. RECOMMENDATIONS

18. Does your child's teachers make him/her feel welcome in the school and classroom?	☐ Yes ☐ No ☐ DK
19. Does your child feel accepted by his/her classmates?	☐ Yes ☐ No ☐ DK
20. Is the school responsive if you have concerns about your child's education?	☐ Yes ☐ No ☐ DK
21. Do teachers mistreat your child at school?	☐ Yes ☐ No ☐ DK

ANNEX 11.13

Questionnaire for Parents of Children with Disabilities not in School (Ghana)

A. BACKGROUND

1. What is your level of education?	☐ University ☐ Technical/vocational ☐ Senior high school ☐ Junior high school ☐ Primary ☐ Never attended ☐ Other (please specify)
2. What is your marital status?	a. Married b. Divorced c. Never married d. Other (please specify)
3. How many school age (4-17 yrs) children do you have?	Provide response
4. How many of your school going age children have disability?	Provide response
5a. Do all your children attend school?	☐ Yes ☐ No ☐ Some of them ☐ Other (please specify)
5b. If *no*, why? (choose all that apply)	a) No money for fees/uniform/books b) Poor quality of school/education c) Schools unsafe d) Illness e) Disability f) Have to work outside home or for household business g) Have to help in home/look after children h) School too far from home i) Schooling conflicts with beliefs j) No female teachers k) Social unrest/insecurity l) Not interested m) Other (please specify)
6a. Which of the following schools would you like your child with disability to attend?	☐ Regular classroom in a regular school ☐ Special classroom in a regular school ☐ Special school for children with disabilities ☐ Other (please specify)
6b. For whatever answer selected for Question 6a, explain why.	Provide response

B. KNOWLEDGE

7. Are you aware every child (with or without disability) has the right to education in Ghana?	☐ Yes ☐ No ☐ DK
8a. Do you think children with disabilities will benefit from attending school?	☐ Yes ☐ No ☐ DK
8b. If *yes*, why? (choose all that apply)	a. Read and write b. Take care of themselves c. Get a job d. It's a child's right e. Other (please specify)
9. Do you agree with the following statements?	☐ Yes ☐ No Children with disabilities do not need to be educated Children with disabilities are not able to learn Schools cannot meet the needs of children with disabilities Children with disabilities would not be safe at school It would be bad to mix children with and without disabilities

C. SUPPLY-SIDE ISSUES

10a. If your child with disabilities was attending school, would he/she need help to get to school?	☐ Yes ☐ No ☐ DK
10b. If *yes*, is this because (mark all that apply): Child too young to go alone It is too far to go alone It is unsafe to go alone	☐ Yes ☐ No Too young Too far Unsafe
11. How long would it take your child to get to school?	☐ Yes ☐ No ☐ DK
12. Do you feel the teachers would be willing to support your child with disabilities to learn and stay in school?	☐ Yes ☐ No ☐ DK
13. Do you feel the school has the special services or assistance (speech therapist, support worker, sign language interpretation, etc.) that your child needs to support his/her learning in school?	☐ Yes ☐ No ☐ DK
14. Do you feel the school has the assistive devices/ technology (Braille textbook, hearing aid, wheelchair, etc.) to support your child's learning at school?	☐ Yes ☐ No ☐ DK
15a. Is it safe for your child to be at school?	☐ Yes ☐ No ☐ DK
15b. If *no*, why? (choose all that apply)	a. No toilets/urinal b. No safe drinking water c. Bullying d. No ramps e. Corporal punishment f. Long distance to/from school g. Other (please specify)

ANNEX 11.14

Questionnaire for Parents with Children with Disabilities (general) (Ghana)

A. ATTITUDE

1. Do your child's teachers make him/her feel welcome in the classroom?	☐ Yes ☐ No ☐ Don't know (DK)
2. Does your child feel accepted by his/her classmates?	☐ Yes ☐ No ☐ DK
3. Is the school responsive if you have concerns about your child's education?	☐ Yes ☐ No ☐ DK
4. Do teachers mistreat your child at school?	☐ Yes ☐ No ☐ DK
5a. Are you willing to allow your child to learn together with a child with disability in the same class?	☐ Yes ☐ No ☐ DK
5b. If *no*, why?	Provide response
6a. Are you willing to allow your child to play with a child with disability?	☐ Yes ☐ No ☐ DK
6b. If *no*,why?	Provide response
7. Would you contribute/join communal labor to build ramps, accessible toilets, etc. to ease movement of children with disabilities in the school?	☐ Yes ☐ No ☐ DK
8a. Are you happy your child with disability is participating in education?	☐ Yes ☐ No ☐ DK
8b. If *no*, why?	Provide response

9. Do you agree with the following statements?	
All boys have the right to attend elementary school	☐ Yes ☐ No ☐ DK / Not sure
All boys have the right to attend middle/high school	☐ Yes ☐ No ☐ DK / Not sure
All girls have the right to attend elementary school	☐ Yes ☐ No ☐ DK / Not sure
All girls have the right to attend middle/high school	☐ Yes ☐ No ☐ DK / Not sure
All children with disabilities have the right to attend school	☐ Yes ☐ No ☐ DK / Not sure
10a. Do you think that children with disabilities should only go to special schools for those with disabilities?	☐ Yes ☐ It depends ☐ No ☐ DK
If *yes* or *it depends* to 10a: **10b.** We would like to understand why you answered as you did. Do you agree with the following statements?	☐ Yes ☐ No These schools are better prepared to meet their needs These children feel most comfortable in these schools These children are most safe in these schools It is better for children without disabilities to be separated from children with disabilities
If *no* to 10a: **10c.** We would like to understand why you answered as you did. Do you agree with the following statements?	☐ Yes ☐ No Children with disabilities do not need to be educated Children with disabilities are not able to learn Schools cannot meet the needs of children with disabilities Children with disabilities would not be safe at school It would be bad to mix children with and without disabilities

B. KNOWLEDGE ABOUT DISABILITY-INCLUSIVE EDUCATION

11. What is the main type of school that your child attends?	☐ Regular classroom in a regular school ☐ Special classroom in a regular school ☐ Special school for children with disabilities ☐ Other
12. Does your child receive tutoring or other special services?	☐ Yes ☐ No ☐ DK
13. At school, do your child's teachers care about his/her success in school?	☐ Yes ☐ No ☐ DK
14. Do your child's teachers come to class regularly?	☐ Yes ☐ No ☐ DK
15. Are there too many students in your child's class?	☐ Yes ☐ No ☐ DK
16. Do you expect your child to successfully complete this current school year?	☐ Yes ☐ No ☐ DK
17. Do teachers know how to teach a child like yours?	☐ Yes ☐ No ☐ DK
18. Are you aware every child (with or without disability) has the right to education in Ghana?	☐ Yes ☐ No ☐ DK
19. Are you aware children with and without disability can learn and play together in the same school?	☐ Yes ☐ No ☐ DK
20a. Do you know about any support systems available for your child with disability to participate in education?	☐ Yes ☐ No ☐ DK
20b. If *yes*, are they free?	☐ Yes ☐ No ☐ DK
20c. What are these support systems?	List support systems

C. SUPPORT SYSTEMS

21. Does your child need help to get to school?	☐ Yes ☐ No ☐ DK
22. If yes, is this because (mark all that apply): **22a.** Your child is too young to go alone **22b.** It is too far to go alone **22c.** It is unsafe to go alone **22d.** Your child has a disability that makes it difficult to go unassisted	☐ Yes ☐ No Too young Too far Unsafe Disability
23. How long does it usually take your child to get to school?	☐ Less than 30 minutes ☐ 30-60 minutes ☐ More than 1 hour ☐ DK
24. In the (2016) academic year, did your household pay for the following items? **24a.** School tuition **24b.** Transportation to and from school **24c.** School meals **24d.** School materials and supplies **24e.** Lodging **24f.** Tutoring or special services **24g.** Assistive devices, for example Braille textbook, hearing aid or wheelchair	☐ Yes ☐ No School tuition Transportation Meals School materials and supplies Lodging Tutoring/special services Assistive devices
25. Does your child's teachers help him/her learn?	☐ Yes ☐ No ☐ DK
26. Does your child have books that he/she is able to use?	☐ Yes ☐ No ☐ DK
27. Are there seats for every student in your child's class?	☐ Yes ☐ No ☐ DK
28. Are there special services or assistance (speech therapist, support worker, sign language interpretation, etc.) that your child needs to attend school?	☐ Yes ☐ No ☐ DK
29. Does your child have assistive devices/technology (Braille textbook, hearing aid, wheelchair, etc.) that he/she needs to attend school?	☐ Yes ☐ No ☐ DK
30a. Would you want your child to support a child with disability to learn in the classroom?	☐ Yes ☐ No ☐ DK
30b. If *no*, why?	Provide response
31a. Would you want your child to support a child with a disability in travelling to/from school?	☐ Yes ☐ No ☐ DK
31b. If *no*, why?	Provide response
32a. Are you able to support your child with disability with schoolwork at home?	☐ Yes ☐ No ☐ DK
32b. If *no*, why?	Provide response

D. ENVIRONMENT

33. Does your child's classroom have enough light for him/her to do his/her work?	☐ Yes ☐ No ☐ DK
34. Is your child's classroom warm or cool enough for him/her to do his/her work?	☐ Yes ☐ No ☐ DK
35. Is there too much noise in your child's classroom/environment for him/her to do his/her work?	☐ Yes ☐ No ☐ DK
36. Does your child move around the school easily?	☐ Yes ☐ No ☐ DK
37a. Does your child use drinking water facilities at school?	☐ Yes ☐ No ☐ DK
37b. If *no*, why?	☐ Not available ☐ Not able to access ☐ Not acceptable for use ☐ DK
38a. Does your child use a toilet at school?	☐ Yes ☐ No ☐ DK
38b. If *no*, why?	☐ Not available ☐ Not able to access ☐ Not acceptable for use ☐ DK
39a. Does your child use areas at the school where children play and socialize?	☐ Yes ☐ No ☐ DK
39b. If *no*, why?	☐ Not available ☐ Not able to access ☐ Not acceptable for use ☐ DK
40. Is your child safe traveling to and from school?	☐ Yes ☐ No ☐ DK
41. Is your child safe at school?	☐ Yes ☐ No ☐ DK

ANNEX 11.15

Serbia MICS5 (2014) Questionnaire on Attitudes Regarding People with Disabilities

Please indicate the extent to which you agree or otherwise with the following statements (Strongly disagree, Mostly disagree, Neither agree nor disagree, Mostly agree, Strongly agree):

a. For children with physical and sensory disabilities, it is better to live in-family than in specialized care institutions.

b. Children with physical and sensory disabilities have a negative impact on the everyday life of other children in the family.

c. For children with physical and sensory disabilities, it is better to attend mainstream schools than special schools.

d. Children with physical and sensory disabilities attending mainstream schools have a negative impact on the work of other students.

e. Children with physical and sensory disabilities can achieve a lot in life if they are supported.

f. For children with intellectual disabilities, it is better to live in-family than in specialized care institutions.

g. Children with intellectual disabilities have a negative impact on the everyday life of other children in the family.

h. For children with intellectual disabilities, it is better to attend mainstream schools than special schools.

i. Children with intellectual disabilities attending mainstream schools have a negative impact on the work of other students.

j. Children with intellectual disabilities can achieve a lot in life if they are supported.

ANNEX 12.1 Example of Questionnaire Addressed to School Heads to Identify and Characterize Risks Affecting the School and the Community

Crises and their impact on school enrollment in Guinea-Bissau

Data collection questionnaire for headteachers

EMIS CODE

Name of the school:

Name of the headmaster: **Tel n° :**

Section: **Sector:**

Region:

Q1. Indicate the total number of students enrolled for the years 2013-2014 and 2014-2015

Class		1st year	2° year	3° year	4° year	5° year	6° year	Total
2013-2014	Students							
	Repeaters							
2014-2015	Students							
	Repeaters							

Q2.A In the previous school year 2013-2014 or current year 2014-2015, apart from weekends, official holidays and school holidays, **has school closed for at least one entire day?**

☐ Yes ☐ No

Q2.B If *yes*, indicate for how many days all the students in the school did not attend:

in 2013-2014 :

in 2014-2015 :

Q2.C Indicate the three main reasons why school has been closed:

a.

b.

c.

Q3.A During the *previous school year 2013-2014 or current year 2014-2015*, apart from weekends, official holidays and school holidays, did all the students **in one class miss lessons for at least one full day** while the other students in the other classes had lessons?

☐ Yes ☐ No

B. If *Yes*, indicate in the following table the class(es) concerned and the total number of days in which it is (are) closed.

Class	1st year	2° year	3° year	4° year	5° year	6° year	Total
Number of days in 2013-2014							
Number of days in 2014-2015							

Q4. During the last 30 days, specify for each class how many students have not yet come to school even though they are regularly enrolled on the list of the class for this year 2014-2015.

Class	1st year	2° year	3° year	4° year	5° year	6° year	Total
Number of students							

Q5. Specify for each class how many pupils did not come to school today, even though they had come to school yesterday (or the last day that school was open).

Class	1st year	2° year	3° year	4° year	5° year	6° year	Total
Number of students							

Q6. Indicate the number of teachers in the school:

	2013-2014	2014-2015
Total number of teachers		
Teachers with *Teacher training college diplomas*		
Teachers with *University diploma*		
Teachers with no educational qualifications		

Q7. Indicate the total number of classrooms in the school

	Total	In good condition	In poor condition	Damaged by wind or rain
2013-2014				
2014-2015				

Q8. Compared to the official objectives set out in the curriculum, indicate the extent to which the overall curriculum defined for the previous and current school year has been covered for the school as a whole:

	Less than 30%	Between 30% and 50%	Between 50% and 80%	80% and 100%
2013-2014				
2014-2015 (1st trimester only)				

Q9. During the past 15 months, has your school experienced any of the following crises:

		2013-2014	2014-2015
Political/Civil conflict	a. Did the political / civil conflicts (except the teachers' strike) disrupt the normal course of the school year?	☐ Yes ☐ No	☐ Yes ☐ No
	b. If *Yes*, how many course days were lost?		
	c. If the school has suffered other impacts (physical violence, attacks, etc.), describe them here:		
2. Teachers' strike	a. Have teachers participated in a strike with a course termination?	☐ Yes ☐ No	☐ Yes ☐ No
	a1. All the teachers of the institution?	☐ Yes ☐ No	☐ Yes ☐ No
	a2. How many days of strike?		
	a3. Only some of the teachers?	☐ Yes ☐ No	☐ Yes ☐ No
	a4. How many teachers ?		
	a5. For how many days?		
	b. If the school has suffered other impacts (delay in courses, etc.), describe them here:		
3. Floods	a. This year or last year, have rains caused any damage or disruption of classes?	☐ Yes ☐ No	☐ Yes ☐ No
	b. If *Yes*, describe the nature and impacts of damage:		
	c. Roof destroyed: ☐ Yes ☐ No If *yes*, number of roofs		
	d. Wall destroyed: ☐ Yes ☐ No If *yes*, number of roofs		
	e. Class destroyed: ☐ Yes ☐ No If *yes*, number of roofs		
	f. Indicate the number of days the entire school did not function due to flooding		
	g. If the school has suffered other impacts (delay in courses, etc.), describe them here:		

4. Food insecurity	a. How many children did not have their breakfast this morning?	1st grade:	1st grade:
	b. How many children did not have three meals yesterday?	3rd grade:	3rd grade:
	c. Is there a functional cafeteria in the school?	☐ Yes ☐ No	☐ Yes ☐ No
	d. If *Yes*, is it for all children or for only some of the children?	☐ Yes ☐ No	☐ Yes ☐ No
	e. In 2013-14 and 2014-15, how many children dropped out of school because of food insecurity?		
	f. Of all the children who have not come to school today, how many do you think are not due to food insecurity?		
	g. To your knowledge, is there a particular time of year when most families in the village lack food?	☐ Yes ☐ No	☐ Yes ☐ No
	h. If *yes*, specify (beginning month - end month):		
	i. Other major remarks		
5.Violent winds	a. Did the winds cause property damage or school disruption?	☐ Yes ☐ No	☐ Yes ☐ No
	b. If Yes, nature and impacts of damage:		
	c. Roof destroyed: ☐ Yes ☐ No If *yes*, number of roofs		
	d. Wall destroyed: ☐ Yes ☐ No If *yes*, number of roofs		
	e. Class destroyed: ☐ Yes ☐ No If *yes*, number of roofs		
	f. Indicate the number of days the entire school did not function due to violent winds		
	g. If the school has suffered other impacts (delay in courses, etc.), describe them here:		
6. Refugees	Has the school experienced a massive influx of displaced persons and refugees?		
	a. Displaced persons (students): ☐ Yes ☐ No If *yes*, number		
	b. Refugee students: ☐ Yes ☐ No If *yes*, number of roofs		
	c. If the school has experienced other impacts related to displaced / refugee students, describe them here:		
11. Other	**Other major risks that affect schooling (describe)**		

Q10. Has there been a catch-up course in your institution?

	2013-2014	2014-2015
Yes		
No		
If yes, how frequently?		

Q11. Indicate the number of times the Parent-Teachers' Association (or the School Management Committee) has met in the past two years:

	2013-2014	2014-2015
Number of PTA meetings		
Indicate some topics on the agenda of the last meeting:		

Q12. Indicate the information on the results at the last primary school examination

Number of candidates nominated by the school	
Number of candidates admitted to the examination	

ANNEX 12.2 Example of COVID-19 risk assessment tool (developed by UNICEF East and Southern Africa Regional Office)

CONTEXT ASSESSMENT WITH REGARD TO COVID19
for schools reopening in the targeted geographical area

			Weighting points to risk profile
CONTEXT1	Has any confirmed case of COVID19 been recorded inside the geographical area?	○ Yes ◉ No	1
CONTEXT2	Has any death been recorded from confirmed cases of COVID19 inside your geographical area?	○ Yes ◉ No	2
CONTEXT3	Has there been any recorded cases of a patient recovering from COVID19 inside your geographical area?	○ Yes ◉ No	1
	If yes, please indicate the recovery rate (number of recoveries as percentage of total number of cases) to date	◉ Less than 50% ○ 50% ○ More than 50%	1
CONTEXT4	In case of confirmed cases, please state how the infection rate (percentage of new cases out of the total cases) has evolved in your geographical area over the past two weeks	◉ Decreasing ○ Stagning ○ Increasing	6
CONTEXT5	In case of no confirmed cases, is the targeted geographical area isolated from areas where there are confirmed cases?	○ Yes ◉ No ○ Not applicable	1
CONTEXT6	Please rate the response capacity to COVID19 of health care facilities in your geographical area:	○ Sufficient ◉ Low ○ No facilities	1
CONTEXT7	Please rate the response capacity to COVID19 of psychosocial support in your geographical area:	○ Sufficient ◉ Low ○ No capacity	1
CONTEXT8	Are schools in your geographical area being used as isolation centers for COVID19 response?	◉ Yes ○ No	1
CONTEXT9	Are physical distancing measures in application to reduce COVID19 spread in your geographical area ?	◉ Yes ○ No	1
CONTEXT10	Is handwashing in application to avoid COVID19 spread in your geographical area ?	◉ Yes ○ No	1
CONTEXT11	Are masks being used to reduce COVID-19 spread in your geographical area?	◉ Yes ○ No	1
CONTEXT12	Please average rate the level of poverty of the targeted geographical area	◉ Comfortable ○ Intermediate ○ Poor	1
CONTEXT13	Please describe the geographical area	◉ Urban ○ Rural ○ Slum	

Context assessment score with regard to Covid19 for the area	**26%**
Level of risk related to the context for schools reopening	**MODERATE**

CONDITIONS IN SCHOOLS ASSESSMENT

for reopening in the targeted geographical area (region, district or county)

				Weighting points to risk profile
WASH				
WASH1 1,1 What proportion of schools have clean water regularly available in your geographical area?				
Pre-primary level	○ Less than 60%	○ Between 60% and 90%	◉ More than 90%	1
Primary level	○ Less than 60%	○ Between 60% and 90%	◉ More than 90%	1
Lower secondary level	○ Less than 60%	○ Between 60% and 90%	◉ More than 90%	1
Upper secondary level	○ Less than 60%	○ Between 60% and 90%	◉ More than 90%	1
1,2 *Please indicate the source of information*	○ EMIS ○ Estimates ◉ Other, Please specify			
WASH2 2,1 What proportion of schools have enough functioning handwashing facilities in your geographical area?				
Pre-primary level	○ Less than 60%	◉ Between 60% and 90%	○ More than 90%	1
Primary level	○ Less than 60%	◉ Between 60% and 90%	○ More than 90%	1
Lower secondary level	○ Less than 60%	◉ Between 60% and 90%	○ More than 90%	1
Upper secondary level	○ Less than 60%	◉ Between 60% and 90%	○ More than 90%	1
2,2 *Please indicate the source of information*	○ EMIS ◉ Estimates ○ Other, Please specify			
SOCIAL DISTANCING				
SDIST1 1,1 What is the proportion of schools with less than 40 students per classrom in your geographical area?				
Pre-primary level	○ Less than 60%	○ Between 60% and 90%	◉ More than 90%	1
Primary level	○ Less than 60%	○ Between 60% and 90%	◉ More than 90%	1
Lower secondary level	○ Less than 60%	○ Between 60% and 90%	◉ More than 90%	1
Upper secondary level	○ Less than 60%	○ Between 60% and 90%	◉ More than 90%	1
1,2 *Please indicate the source of information*	○ EMIS ○ Estimates ◉ Other, Please specify			

CONDITIONS IN SCHOOLS ASSESSMENT

for reopening in the targeted geographical area (region, district or county)

SDIST2 2,1 What is the proportion of schools of your geographical area practising double-shift for students in any grade prior COVID-19 spread?

Primary level	(•) Less than 10%	() Between 10% and 25%	() More than 25%	1

2,2 *Please indicate the source of information*

(•) EMIS
() Estimates
() Other, Please specify ……

SDIST3 3,1 What is the proportion of schools in your geographical area where students have to share any of textbooks or other materials in any classroom ?

Primary level	() Less than 10%	() Between 10% and 25%	(•) More than 25%	1
Lower secondary level	(•) Less than 10%	() Between 10% and 25%	() More than 25%	1
Upper secondary level	(•) Less than 10%	() Between 10% and 25%	() More than 25%	1

3,2 *Please indicate the source of information*

() EMIS
() Estimates
(•) Other, Please specify ……

INFRASTRUCTURES

INFRA1 1,1 What proportion of schools meet national school infrastructure standards (Windows, airflow, fans, etc.)?

Pre-primary level	() Less than 60%	() Between 60% and 90%	(•) More than 90%	1
Primary level	() Less than 60%	(•) Between 60% and 90%	() More than 90%	1
Lower secondary level	(•) Less than 60%	() Between 60% and 90%	() More than 90%	1
Upper secondary level	(•) Less than 60%	() Between 60% and 90%	() More than 90%	1

1,2 *Please indicate the source of information*

() EMIS
(•) Estimates
() Other, Please specify ……

Conditions in schools assessment score for the area	38%
For pre-primary level	13%
For primary level	33%
For lower secondary level	50%
For upper secondary level	50%
Level of risk regarding conditions in schools	MODERATE
For pre-primary level	LOW
For primary level	MODERATE
For lower secondary level	HIGH
For upper secondary level	HIGH

SCHOOLS READINESS ASSESSMENT

for reopening in the targeted geographical area

		Weighting points to risk profile
READI1	In your geographical area, please indicate if ALL schools: (●) Already have handwashing and cleaning supplies (such as soap, buckets or chlorine, etc.) () Will have handwashing and cleaning supplies before reopening () Will not be able to get any handwashing and cleaning supplies before reopening	1
READI2	In your geographical area, please indicate if ALL schools: (●) Already have Personal Protective Equipment (PPE) i.e. face masks for all students () Will have PPE i.e. face masks for all students before reopening () Will not be able to have any PPE i.e. face masks for all students before reopening	1
READI3	In your geographical area, please indicate if ALL schools: (●) Already have Personal Protective Equipement (PPE) i.e. face masks for all teachers () Will have PPE, i.e. face masks for all teachers before reopening () Will not be able to have any PPE, i.e face masks for all teachers before reopening	1
READI4	In your geographical area, please indicate if ALL schools, especially those used as isolation centers for COVID19 response: (●) Have already been fumigated/desinfected () Will be fumigated/desinfected before reopening () Will not be able to be fumigated/desinfected before reopening	1
READI5	In your geographical area, please indicate if IN ALL schools: (●) Measures are taken to implement COVID19-related guidance on regular cleaning of schools () There are well known COVID19-related guidance on regular cleaning of schools () There are no COVID19-related guidance on regular cleaning of schools	1
READI6	In your geographical area, are there any plans to ensure physical distancing in schools:	
	In classrooms: (●) Yes () No	1
	In the school campus/assembly: (●) Yes () No	1
	In the school canteens/dinning hall: () Yes () No (●) Not applicable	1
READI7	In your geographical area, have the groups below been sensitized or trained on the application of preventive and protective measures and the symptoms related to COVID19:	
	Teachers and education staff? () Yes (●) No	0,25
	Students? (●) Yes () No	0,25
	Teacher Unions? () Yes (●) No	0,25
	Parents-Teachers Association? (●) Yes () No	0,25
	School Management Committees? () Yes (●) No	0,25

SCHOOLS READINESS ASSESSMENT

for reopening in the targeted geographical area

READI8 In your geographical area, are there any plans to sensitize or train the groups below on the application of preventive and protective measures related to COVID19:

Teachers and education staff?	(•) Yes () No	0,25
Students?	(•) Yes () No	0,25
Teacher Unions?	() Yes (•) No	0,25
Parents-Teachers Association?	(•) Yes () No	0,25
School Management Committees?	() Yes (•) No	0,25

READI9 In your geographical area, have the teachers unions been consulted and/or involved in the plans for schools' readiness to reopen? — 0,5

() Yes () No (•) Not applicable

READI10 In your geographical area, have the teachers unions been informed and are they aware of the plans for schools reopening? If READI9 is yes, that has to be yes. — 0,5

() Yes () No (•) Not applicable

READI11 In your geographical area, what is the opinion of teachers unions about school reopening plans? — 1

() Strongly agree
() Somewhat agree
(•) Neither agree nor disagree
() Somewhat disagree
() Strongly disagree

READI12 In your geographical area, please indicate whether any reorganization of the current school year with regard to exams/assessments — 1

(•) has been defined, discussed and agreed amongst education stakeholders
() is only defined and not yet discussed and agreed
() is not yet defined

READI13 In your geographical area, please indicate whether any guidance and/or tools to make return-to school diagnostic assessment — 1

() have been defined, discussed and agreed amongst education stakeholders
(•) are only defined and not yet discussed and agreed
() are not yet defined

READI14 In your geographical area, please indicate whether any guidance and/or capacity to deliver catch-up / accelerated learning programmes given the particular situation of COVID19: — 1

() have been defined, discussed and agreed amongst education stakeholders
() are only defined and not yet discussed and agreed
(•) are not yet defined

READI15 In your geographical area, please indicate whether guidance for reintegration and protection of vulnerable children (pregnant girls, CwD, children with weak immune systems, etc.) and teachers: — 1

(•) have been defined, discussed and agreed amongst education stakeholders
() are only defined and not yet discussed and agreed
() are not yet defined

Schools readiness assessment score for the area	20%
Level of risk regarding schools readiness	LOW

ANNEX 12.3

Severity Scale Methodological Note – Syria Example for the HNO 2019

Whole of Syria Education Sector
قطاع التعليم لكل سوريا

Whole of Syria (WoS) Education Severity Scale Methodology for the 2019 Humanitarian Needs Overview (HNO)

The education severity scale is used to assess to what extent assistance is needed at the community level. It presents seven levels of severity, with zero indicating 'no problems' and six indicating a 'catastrophic situation'. The severity scale indicators include variables in the three subjects of education access, quality of education and education system strengthening.

1. Information source

Based on data quality and coverage, the education sector triangulates information from the Education Management Information System (EMIS), OCHA Multi-Sectoral Needs Assessment (MSNA), REACH Education Assessment, Assistance Coordination Unit (ACU) reports and 4Ws (Who does What, Where and When) response monitoring to calculate the education severity scales and Population in Need (PiN).

2. Process

a. Indicator selection

Seven indicators are used to decide the severity scales. These are enrolment, proportion of school-age children who are IDPs and/or returnees, availability of learning facilities, availability of teaching and learning materials, availability of teachers, percent of teachers receiving salary/incentives, and education actors' professional development.

b. Major criteria for severity scale

The education severity scale is calculated at community level. The calculation assigns heavier weight to the **enrollment, availability of learning facilities** and **availability of teachers' indicators.** These indicators are sensitive to **the internally displaced persons (IDPs) caseload** and **intensity of conflict indicators.** For example, abnormally high enrollment rates indicate large IDP influx and low intensity of conflict; vice versa low enrollment rates indicate that more children have fled, including due to higher intensity of conflict. Communities under the control of **ISIL, contested, or formerly besieged or military encircled** are assigned the highest severity ranking of **6** in recognition that the education process in these locations might be limited or interrupted and education data might not be up-to-date to capture the current severity. For the same reason, communities under **mixed control** or **hard-to-reach**, including **military encircled**, are assigned a ranking of **5** if they were previously ranked **under 5.**

Subject to data availability, weighted mean severity scales are calculated within the three pillars of **access**, **quality** and **system**, then further aggregated (by taking weighted mean again) to obtain the overall education severity at the **community** level.

c. Severity assignment methodology

With the calculation based on the major criteria above, the following rules apply:

- If data for a community is missing, impute the severity scale from the previous exercise.
- When large gaps are detected between last year and this year (≥ 3 difference), adjust the 2019 severity scales closer to the 2018 ones based on data availability and severity in terms of children-teacher ratio, classroom functionality, and the primary dropout situation suggested by existing surveys.

- Communities under the control of **ISIL, contested, or formerly besieged or military encircled** are given a severity ranking of 6. Communities under mixed control or **hard-to-reach**, are given a severity ranking of 5 if previous ranking is smaller than **5**.
 - If MSNA results depict a perceived much worse education situation yet the new severity scale is lower than last year's, adjust the severity scale by 1, and vice versa.
 - If a community is considered as hard-to-reach category other but the severity scale is lower than 4, add 1 to the current severity scale.
 - Severity scales are rounded after above adjustments.
 - The scales for around 0.5% (30~40) communities with different data sources showing contradicting situation

d. School-age children (5-17 years) calculation

The WoS education sector calculates the school-age children (5-17 years) data using the OCHA estimation of population data which provides distribution of population by age within each age group:
31.3% is the estimated percentage of school-age children (5-17 years) in need of education assistance using the latest population data updated as of August 2018.

e. Teachers and education personnel

The number of teachers and education personnel in need of education assistance is calculated from the national pupil-teacher ratio which is estimated, **24** for **2019**.

f. Education Population in Need (PiN) calculation

For the PiN figure, the WoS education sector aggregates the number of school-age children (5-17 years) and the teachers and education personnel in need of education assistance in communities assigned severity **2 (need for humanitarian assistance) to 6 (acute and immediate need of assistance).**

g. Percentage of severity scale weight

The WoS education sector assigns weight following the 2016 London conference with the funding ask for education in the Syria crisis context estimated based on the assumption of 80:15:5 in budget allocation among access, quality and system strengthening education pillars.

Whole of Syria Education Sector
قطاع التعليم لكل سوريا

Whole of Syria (WoS) Education Severity Scale Methodology for the 2019 Humanitarian Needs Overview (HNO)

Severity scale categorization	No need of humanitarian assistance		Need of humanitarian assistance		Acute and immediate need of humanitarian assistance		
	0	1	2	3	4	5	6
	No problem	Minor problem	Moderate problem	Major problem	Severe problem	Critical problem	Catastrophic problem
Access						Hard-to reach or under mixed control	Under the control of ISIL, contested, or formerly besieged or military encircled (FBM)
Intensity of conflict	Population not experiencing conflict	Population is experiencing minimal conflict	Population is experiencing moderate conflict	Population is experiencing major conflict	Population is experiencing severe conflict	Population is experiencing critical conflict	Population is experiencing catastrophic conflict
1. ACCESS TO EDUCATION (80%)							
1.1 Enrollment (30% within ACCESS)	# of enrollment is between 95% and 110% of the school-age population	# of enrollment is 6%-10% lower or 11%-20% higher than the school-age population	# of enrollment is 11%-15% lower or 21%-30% higher than the school-age population	# of enrollment is 16%-20% lower or over 30% higher than the school-age population	# of enrollment is 21%-25% lower than the school-age population	# of enrollment is 26-30% lower than the school-age population	# of enrollment is 30% lower than the school-age population
1.2 Proportion of school-age children who are IDPs and/or returnees (30% within ACCESS)	No IDPs and/ or returnees and living conditions are normal	IDPs and/ or returnees constitute more than 5% of the school-age population	IDPs and/ or returnees constitute more than 10% of the school-age population	IDPs and/ or returnees constitute more than 20% of the school-age population	IDPs and/ or returnees constitute more than 30% of the school-age population	IDPs and/ or returnees constitute more than 40% of the school-age population	IDPs and/ or returnees constitute more than 50% of the school-age population
1.3 Availability of learning facilities (20% within ACCESS)	100% - 90% learning spaces are functional	89% - 85% learning spaces are functional	84% - 75% learning spaces are functional	74% - 65% learning spaces are functional	64% - 55% learning spaces are functional	54% - 45% learning spaces are functional	≤ 44% learning spaces are functional
1.4 Availability of teaching and learning materials (20% within ACCESS)	100% - 90% of school-age children (5-17) receive BTL materials	89% - 85% of school-age children (5-17) receive BTL materials	84% - 75% of school-age children (5-17) receive BTL materials	74% - 65% of school-age children (5-17) receive BTL materials	64% - 55% of school-age children (5-17) receive BTL materials	54% - 45% of school-age children (5-17) receive BTL materials	≤ 44% of school-age children (5-17) receive BTL materials

Severity scale categorization	No need of humanitarian assistance		Need of humanitarian assistance		Acute and immediate need of humanitarian assistance		
	0	1	2	3	4	5	6
	No problem	Minor problem	Moderate problem	Major problem	Severe problem	Critical problem	Catastrophic problem
2. PROVISION OF QUALITY EDUCATION (15%)							
2.1 Availability of teachers (50% within QUALITY)	Pupil – Teacher Ratio (PTR) ≤ 15	Pupil – Teacher Ratio (PTR) 16 - 20	Pupil – Teacher Ratio (PTR) 21 - 25	Pupil – Teacher Ratio (PTR) 26 - 30	Pupil – Teacher Ratio (PTR) 31 - 35	Pupil – Teacher Ratio (PTR) 36 - 40	Pupil – Teacher Ratio (PTR) > 40
2.2 Percent of teachers receiving salary/ incentives (50% within QUALITY)	100% - 90% of teachers receiving salary/ incentives	89% - 85% of teachers receiving salary/ incentives	84% - 75% of teachers receiving salary/ incentives	74% - 65% of teachers receiving salary/ incentives	64% - 55% of teachers receiving salary/ incentives	54% - 45% of teachers receiving salary/ incentives	≤ 44% of teachers receiving salary/ incentives
3. EDUCATION SYSTEM STRENGTHENED (5%)							
3.1 Education actors' professional development (100% within SYSTEM)	100% - 90% of education personnel receive professional development	89% - 85% of education personnel receive professional development	84% - 75% of education personnel receive professional development	74% - 65% of education personnel receive professional development	64% - 55% of education personnel receive professional development	54% - 45% of education personnel receive professional development	≤ 44% of education personnel receive professional development

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ANNEX 13.1

Country-Specific Example of a Survey Questionnaire to Analyze the Profile of Education Administration Staff



Ministries responsible for education, Madagascar

In collaboration with

UNESCO International Institute for Educational Planning (IIEP-UNESCO), Paris

Formulation of a program for capacity development in education planning in MADAGASCAR

INDIVIDUAL QUESTIONNAIRE - PROFILE

(For Malagasy education administration managers)

This individual questionnaire is part of a study on the functioning of the education administration in Madagascar. It is anonymous and will be treated with the utmost discretion by a team of IIEP-UNESCO experts and researchers from Madagascar. The information gathered from this questionnaire will remain confidential and will not be divulged on an individual basis.
The questionnaire includes questions about your profile, missions, duties, activities, educational background, and working conditions.
It should take between 20 and 30 minutes to complete this questionnaire. Thank you very much for your cooperation.

Antananarivo, April 2017

Section I: Demographic Characteristics

1. Are you a woman or a man? (Circle the correct response)

a. Woman b. Man

2. How old are you

I___I___I years

Section II: Your Post and Duties

3. What is the exact title of your current post?

a. Head of Research b. Unit Chief
d. Director c. Division Chief
e. Others

4. How long have you been working in your current post?

I___I___I years

5. Where do you work?

a. Ministry of National Education (MEN)
b. Regional Directorate of National Education (DREN)
c. Subdistrict Education Office (CISCO)
d. Ministry of Higher Education and Scientific Research (MESRS)
e. Ministry of Technical Education and Vocational Training (METFP)

6. How did you attain your current post?

a. Appointment b. Assignment c. Competitive process
d. Other (specify)

7. Is there a description of your post or an official document that clarifies the responsibilities of your post?

a. Yes b. No c. I do not know

7.1. If yes, state the name and type of document.

.....

7.2. If there is no such document, how were you informed of your responsibilities?

.....
.....

7.3. How do you find the definition of your responsibilities?

a. Very clear b. Somewhat unclear c. Not clear at all

8. Are there official documents that specify the mission of your department/division/unit?

a. Yes b. No c. I do not know

8.1. If yes, state the name(s) and type(s) of documents.

.....
.....
.....

8.2. What is the main mission of your department/division/unit based on this document?

.....
.....

8.3. In this document, how do you find the description of your mandate?

a. Very clear b. Somewhat unclear c. Not clear at all

Section III: Academic Qualifications

9. What is the highest level of education that you have successfully completed?

1. GRADE 9
2. GRADE 10
3. GRADE 11
4. GRADE 12
5. BAC+1
6. BAC+2
7. BAC+3
8. BAC+4
9. BAC+5
10. DOCTORATE

10. If beyond high school, in what field (or discipline) (basic education)?

a. Physical science (mathematics)
b. Experimental sciences (physics, chemistry, life and earth sciences)
c. Technological sciences (computer science, statistics, demography)
d. Engineering sciences
e. Organizational sciences (e.g., management, economics, marketing, commerce)
f. Social sciences (e.g., sociology, law, languages, history, geography, biodiversity, environment)
g. Education sciences (e.g., graduate of École Normale Supérieure)
h. Other (specify)

Section IV: Work Experience

11. How many total years of professional experience do you have?

a. Less than 5 b. 5-15 c. 15-25 d. Over 25

12. How many years of experience do you have in the following roles?

Teacher	
Administrator in an educational institution or university (e.g., Director or Principal)	
National education administrator (deconcentrated ministries and agencies)	
Other	

Section V: Training and Skills

13. Apart from your academic education or your initial training, have you undertaken vocational training (or an internship) of more than 15 days during the following periods?

	Yes	No
Between 2005 and 2009		
Between 2010 and 2013		
In 2014 or 2015		
In 2016		
In 2017		

14. If yes, please state the topics, total duration, and the organizers of each of these training opportunities. In the last column, indicate if this training was linked to your responsibilities.

Topic	Total duration (months)	Organizer	Location*	Linked to my responsibilities
				Yes/No
				Yes/No
				Yes/No
				Yes/No
				Yes/No

** For location, please choose between Madagascar, Africa, Outside of Africa, online.*

15. For each of the following tasks, kindly

15.1. Check box A for tasks for which you are responsible or in which you play a significant role

15.2. Check box B for the three tasks that occupy the majority of your time

	A My responsibilities	**B** Three tasks that occupy the majority of my time
Definition of the education policy		
Sector analysis (school statistics, CSR, dashboard)		
Definition of policy choices based on the analysis (e.g., ESP, national development plan, institutional development plan)		
Definition of strategies to make choices (e.g., ESP, national development plan, institutional development plan)		
Preparation of plans, programs, and projects		
Construction of a simulation model		
Preparation of a short- or medium-term plan (3 to 5 years) (program development, budget preparation)		
Preparation of the program and project (1 to 2 years) (identification of activities, budget preparation, schedule of activities)		
Plan implementation		
Preparation of operational plans (e.g., preparation of annual work plan, budgeting)		
Program and project management (e.g., coordination, oversight)		
Creation and management of the school map		
Monitoring and evaluation of programs and projects		
Establishment of monitoring/evaluation indicators for the program (e.g., definition and calculation of indicators)		
Program and project monitoring (e.g., collection, processing, and analysis of data)		
Evaluation of system quality (e.g. learning outcomes, PASEC, teacher evaluations)		

16. For each of the following activities, kindly indicate your skill level (place an x in the corresponding box; one x per line)

	Skill Level			
	No knowledge: I do not know how to perform this task	**Some knowledge:** I need help to perform this task well	**Competent:** I can perform this task without assistance	**Complete mastery:** I can perform this task and I can teach other colleagues how to perform this task
Definition of the education policy				
Sector analysis *(school statistics, RESEN, dashboard, etc.)*				
Definition of policy choices based on the analysis *(e.g., ESP, national development plan, institutional development plan)*				
Definition of strategies to make choices *(e.g., ESP, national development plan, institutional development plan)*				
Preparation of plans, programs, and projects				
Construction of a simulation model				
Preparation of a short- or long-term plan (3 to 5 years) *(program development, budget preparation)*				
Preparation of the program and project (1 to 2 years) *(identification of activities, budget preparation, schedule of activities)*				
Plan implementation				
Preparation of operational plans *(e.g., preparation of annual work plan, budgeting)*				
Program and project management *(coordination, oversight)*				
Creation and management of the school map				
Monitoring and evaluation of programs and projects				
Establishment of monitoring/evaluation indicators for the program *(e.g., definition and calculation of indicators)*				
Program and project monitoring *(e.g., collection, processing, and analysis of data)*				
Evaluation of system quality *(e.g., learning outcomes, PASEC, teacher evaluations)*				

Section VI: Resources

17. Is your office equipped with the following resources?
If yes, indicate how frequently you use them.

	Yes	Non	Frequency of use			
			Never	Every day	At least once a week	At least once a month
Computer						
Printer						
Photocopier						
Internet connection						
Electricity						

18. Do you use the following communication methods in your work?
If yes, indicate how frequently you use them.

	Yes	Non	Frequency of use			
			Never	Every day	At least once a week	At least once a month
Landline telephone						
Work-provided mobile telephone						
Personal mobile telephone						
E-mail						
Fax						

Thank you for your cooperation

ANNEX 13.2

Country-Specific Example of a Survey Questionnaire to Analyze the Opinions of Education Administration Staff

Ministries responsible for education, Madagascar

In collaboration with

UNESCO International Institute for Educational Planning (IIEP-UNESCO), Paris

Formulation of a program for capacity development in education planning in MADAGASCAR

INDIVIDUAL QUESTIONNAIRE - PERCEPTIONS

(For Malagasy education administration managers)

This individual questionnaire is part of a study on the functioning of the education administration in Madagascar. It is anonymous and will be treated with the utmost discretion by a team of IIEP-UNESCO experts and researchers from Madagascar. The information gathered from this questionnaire will remain confidential and will not be divulged on an individual basis.
It should take between 15 and 20 minutes to complete this questionnaire. Thank you very much for your cooperation.

Antananarivo, April 2017

1. Please indicate your level of agreement with the following statements:

	Strongly agree	Agree	Somewhat agree	Strongly disagree
I know what colleagues in the other units are doing				
I am kept informed of decisions made in my department/ unit				
I participate in decision making in my department/unit				
I have all the information I need to do my job				
I have access to reliable information				
There are sufficient rules, regulations, and procedures in place to govern my work				
The rules, regulations, and procedures are easy to understand				
The rules, regulations, and procedures are being applied				

2. Please indicate your level of agreement with the following statements:

	Strongly agree	Agree	Somewhat agree	Strongly disagree
I am satisfied with the financial benefits for my job				
I am satisfied with the guidance/support that I receive from my supervisor				
Staff performance is recognized and valued in my department/unit				
My work is critical to my unit/Madagascar's education system				
The rules, regulations, and procedures are being applied				

3. On a scale of 1 to 5, how heavy is your workload?

1 I don't always have enough work	**2**	**3** I have an acceptable workload	**4**	**5** My workload is too heavy

4. Do you think that there are barriers to obtaining a promotion or a senior post? If yes, what are they?

	Yes	No
No available posts		
Lack of a transparent selection process		
Lack of a transparent job posting process		
Lack of seniority in the unit		
Lack of requisite skills		
Other (specify):		

5. When you encounter a technical or professional problem, how useful is the assistance you receive from the following sources (check the appropriate box)?

	Very useful	Useful	Slightly useful	Not at all useful
My supervisor				
My colleagues				
Manual/guidelines				
Official documents				
Documentation center				
Internet				
Other (specify):				

6. Over the past 12 months, how many meetings have you attended?

Meetings in my department/my unit |___|___|___|

Meetings for all staff in the ministry, the regional office, the subdistrict education office
|___|___|___|

7. If you have participated in one or more meetings, how would you rate their usefulness?

a. Very useful b. Useful c. Slightly useful d. Not at all useful

8. Does your unit/department have an annual operational plan?

a. Yes b. No

9. If yes, did you contribute to the preparation of this plan?

a. Yes b. No

10. What aspect of your working environment do you most enjoy?

.....

.....

11. What aspect of your working environment do you least enjoy?

.....

.....

12. Do you have any proposals regarding capacity development in education planning and management in Madagascar?

.....

.....

.....

.....

Please ensure that you have answered all the questions; no questions should be omitted.

Thank you for your cooperation.

ANNEX 14.1 Examples of Stakeholder Motivations

Mapping the roles, priorities and influence of different stakeholders in relation to the problem being analyzed is a key element of the stakeholder analysis. To assist in this process, the tables below provide some examples of the types of interests, incentives and motivations that different stakeholders are likely to have regarding education and the education system.

The information contained in these tables is not definitive and stakeholder motivations will vary across contexts. It is also important to bear in mind that these are provided only as examples of the dynamics that may be important in the user's analysis process. The user should therefore undertake their own analysis with an open mind – seeking to explore how stakeholders and their interests are relevant to the problem and context in question, rather than looking to artificially apply the concepts of this section to their analysis.

TABLE 14.5 Examples of Potential Motivations and Interests for Different Stakeholders – Policymakers

Stakeholder	Potential motivations/interests
Politicians and political parties	The actions of politicians and political parties are likely to depend on the nature of political competition and the length of time horizons. Where there are long time horizons, there may be a focus on expanding education and improving the quality of learning to help develop the nation, strengthen economic growth and build a common culture. Shorter time horizons are likely to be associated with: (i) less focus on education – due to other competing priorities with more immediate benefits; (ii) an emphasis on increasing education access and visible resources, particularly where this will be popular with the electorate or will allow resources to be channeled to politician's own constituents and supporters; and (iii) an unwillingness to take steps to improve education quality if it will damage their ability to set up patronage networks or upset other powerful stakeholders (e.g. teachers unions). It is important to note that politicians at different levels of the political system may have different time horizons and priorities.
MoE and national education officials	The formal aim of the MoE is usually to deliver on the government's vision and priorities for education, as embodied in national education plans and strategies. The officials within it are likely to be motivated by a mixture of internal motivation to achieve these aims and external motivations to secure salaries and achieve promotion. In practice, the ministry and officials must balance ESPs with the focus and interests of the minister, with the priorities of the ruling political party and politicians (explored above), and with other powerful stakeholders, such as the ministry of finance and teachers unions. They may also be drawn into patronage networks, where these are better able to secure them benefits than the formal education system. The MoE will be crucial to many types of reforms and is likely to favor those that allow it to achieve its high-level goals and improve its capacity to monitor and manage the system. However, the ministry may oppose reforms that reduce its power and influence over the education system (e.g. decentralization of roles and funding).

TABLE 14.6 Examples of Potential Motivations and Interests for Different Stakeholders – Service Providers

Stakeholder	Potential motivations/interests
Sub-national education officials	Education officials are likely to have a mixture of internal motivation linked to their professional status and ethos, as well as external motivating factors such as securing their salaries and pensions, prospects for promotion and good working conditions (e.g. job security, area of deployment). They may also be drawn into patronage networks, where these are better able to secure them benefits than the formal education system. Education officials are likely to favor reforms that will improve their capacity to fulfill their roles in monitoring and managing the education system, provided these reforms do not undermine their position or conditions. However, officials may be wary of highlighting problems or pursuing reforms if: (i) they believe they will be blamed for revealing difficulties and that the system cannot respond to them; (ii) the pursuit of reforms may damage the interests of powerful stakeholders that can influence their prospects; or (iii) if they are involved in patronage networks that allow them to benefit from the problem or that would be threatened by a solution.
Teachers	Teachers are likely to have a mixture of internal motivation linked to their professional status and ties to their students and community, as well as external motivating factors such as securing their salaries and pensions, prospects for promotion and good working conditions (e.g. job security, area of deployment, classroom conditions). They are therefore likely to support reforms that will improve these and oppose those that may undermine them (even if these reforms are likely to lead to improved learning outcomes). They may also be drawn into patronage networks, where these are better able to secure them benefits than the formal education system.
Teachers unions	The interests of teachers unions are likely to align closely with those of teachers – particularly in terms of teacher salaries and working conditions. However, they may also have a focus on maximizing the power and influence of the union relative to politicians and education officials, and in terms of their ability to control and influence teachers. They are therefore likely to support reforms that expand the scale of the teaching workforce and will improve salaries and conditions. They may oppose policies that will reduce teachers' salaries, conditions or job security; that weaken collective bargaining (e.g. performance-related pay); or that will reduce their ability to strike, or to influence promotion and appointment processes (e.g. meritocratic appointments, open competition for posts). In some contexts, teachers unions are very strong and well mobilized, particularly where they have a role in administering elections, and can exert influence both within the education system and in the broader political sphere. However, they are also vulnerable to being entangled in patronage networks or capture by national governments in corporatist systems – reducing their ability to use their influence independently.

TABLE 14.7 Examples of Potential Motivations and Interest for Different Stakeholders – Service Users

Stakeholder	Potential motivations/interests
Students and parents	Students have a long-term interest in their own education, but may face short-term trade-offs with other priorities or situations where their priorities conflict with those of their parents and family (e.g. wishing to prioritize education over income needs or cultural expectations). Parents will have a broad interest in securing education and formal qualifications for their children. However, this may be balanced against economic interests (e.g. income needs from child or adolescent labor, or preference for other forms of government investment) and cultural expectations (e.g. bias against female education or desire for specific religious or cultural education). Expectations of the education system may vary and where these are low, it is likely parents will pursue private solutions to problems (e.g. private schooling or tuition) rather than seeking changes to the system. Where parents are less educated than teachers, they may be unwilling to challenge the latter in the event of poor performance, particularly if they fear reprisals against students or find it hard to judge the quality of education provision and attribute blame appropriately. Similarly, students may find it hard to mobilize as a stakeholder group, particularly at the primary level.

TABLE 14.8 Examples of Potential Motivations and Interests for Different Stakeholders – Others

Stakeholder	Potential motivations/interests
Businesses and business leaders	Businesses that require access to a skilled workforce are likely to favor investment in expanding education access and improving the quality of education. However, this is likely to depend on: (i) whether they think the government in question can deliver on improvements; and (ii) any trade-off between greater investment in education and either increases in taxation or reduced government investment in other priority areas (e.g. infrastructure and subsidies). The attitude of businesses is therefore likely to vary by industry and may focus on the overall presence of a skilled workforce, rather than issues of equity, etc.
Religious leaders	Religious leaders are likely to favor improved access to education and improved education quality, but may want the content of the curriculum to be – at a minimum – tolerant and sensitive to the tenets of their faith. They may also seek to preserve the independence of faith schools and increase financial support to them.
Traditional or community leaders	Traditional and community leaders are likely to seek access to education and improved learning outcomes for their communities, but the extent to which they give this priority over other issues (e.g. local infrastructure) will vary. They may be able to mobilize communities to make demands on teachers and elected representatives, but this may depend on whether they believe the system will be responsive and whether they benefit personally from patronage networks and appointments in the education system.

ANNEX 14.2

General Guidelines on Conducting Semi-Structured Interviews and Focus Group Discussions

Semi-Structured Interviews

Semi-structured interviews are a key source of information on the actual practices and challenges facing stakeholders, the different dynamics within the education system and specific problem areas, as well as stakeholder perceptions of problems and their informal relationships with other stakeholders and the wider context. They serve as a complement and counterpoint to information collected from documents on how the education system and policies formally operate, and can provide additional information or verification for existing analyses of education system dynamics and problem drivers.

Semi-structured interviews should be carried out with a wide range of stakeholders, either on an individual basis or with focus groups (see below). The user may wish to use an external organization to conduct some, or all, of the semi-structured interviews and focus groups. Using an external organization may have advantages in terms of the time-intensive nature of conducting interviews as well as to ensure the quality of the information produced, as some stakeholders may be unwilling to openly discuss potentially sensitive issues with representatives of the MoE.

Focus Group Discussions

FGDs involve gathering information by conducting a semi-structured interview with a small group of individuals (e.g. parents or teachers within a school). These should be focused on one topic, or a small number of related topics (e.g. the causes of poor learning outcomes and potential solutions). The interviewer should introduce the topic and then act as a moderator for the ensuing discussion. The advantages of this approach include being able to gather information from a range of individuals at the same time; the potential to provide a more holistic view of the issue, as individuals may have complementary information; and the ability to identify collective knowledge gaps and areas of disagreement. The user should consider using FGDs particularly at the sub-national level (e.g. parents, students and community members or teachers within a school).

The user should be aware that there may be challenges in conducting FGDs where the composition includes individuals at different levels of formal and informal hierarchies (e.g. teachers and headteachers, parents and community leaders), or where personal relationships are involved. These dynamics may lead individuals to be unwilling to express their opinions, voice disagreement, or discuss the sensitive issues and the challenges that they face in practice. The user should therefore consider these issues when setting up focus groups and bear them in mind both when conducting the focus group and interpreting the information collected. One approach that can be taken is to conduct follow-up interviews with specific stakeholders that the user believes have more useful information.

Key Principles for Semi-Structured Interviews and Focus Group Discussions

There are a number of key principles to bear in mind when organizing, conducting and analyzing semi-structured interviews and FGDs. These should allow the user to maximize the amount and quality of information they gather, as well as meet their obligations to interviewees.

An important principle when conducting interviews on potentially sensitive issues is that interviewees should be offered anonymity at the start of the interview or focus group. Precisely what this means in practice should also be explained clearly to them. This will allow them to openly discuss issues without fear of punishment or reprisals from other stakeholders or individuals. The user has several options for how to grant anonymity. In cases where the user employs an external organization to conduct interviews, this can include the user and their team receiving only a summary of the information gathered with no identifying data or transcripts with names and places redacted to ensure anonymity. Regardless of who conducts the interviews and focus groups, the user can also commit to not publishing interviewee names or other identifiable data in any internal or external outputs.

The user should also be clear with interviewees as to the purpose of the interview, but emphasize that this is a neutral exercise to facilitate understanding of the problem area and to develop solutions, not an attempt to attribute blame or culpability.

When setting up interviews, it is also useful to minimize the number of people in the room – both interviewees and interviewers. Where necessary, the user should arrange follow-up interviews with individuals to further pursue issues that could not be covered.

The user should develop a broad interview guide for different types of education stakeholder, based on their analysis of formal processes and focusing on gathering data on informal processes and challenges. However, it is important that the interviewer uses their questions to facilitate a conversation and gather as broad a range of information as possible, avoiding framings that allow for yes/no answers or that will lead the interviewee to give particular responses. The interview guide should be updated and revised by the user in response to information gathered in interviews, as these will highlight issues, challenges and dynamics that the user will want to verify and understand in more detail.

When analyzing interview data, the user should be careful to bear in mind the interests and perspectives of the interviewee, and to verify and triangulate information across interviews with different individuals and stakeholders, as well as with other data sources where possible. The user should be skeptical of information that is unverified by other sources, particularly if it aligns with the interests of the interviewee and runs counter to information from other, verified sources.

ANNEX 14.3 Some Examples of Key Areas to Address in Stakeholder Interviews During Stakeholder Mapping and Problem-Driven Analysis

The user should ensure that interviews or focus groups are conducted with representatives of all the stakeholder groups identified in the causal chain and stakeholder analysis. Ideally, the user should interview stakeholders from several sub-national areas that have contrasting records on the problem area. In addition, the user may find it useful to interview other individuals with expert knowledge of the education system or problem area. These could include former public service employees, academics or individuals from research institutes, or civil society organizations.

The following examples cover a number of generic areas that the user may wish to cover in their interviews. The interview guides developed by the user will be more detailed and specific, focusing in on the dynamics and issues that they would expect the stakeholder in question to be able to provide information on. Broadly, the first and last set of questions should be asked of all stakeholders, while the other sets of questions are intended more for policymakers and service providers.

Interviewee perceptions of the problem area:

- What does the interviewee view as being the major challenges related to education provision?
- Does the interviewee view the problem area as a major challenge?
- What, in the interviewee's opinion, are the key causes of the problem area?
- What, in the interviewee's opinion, prevents the problem area from being resolved?
- In the interviewee's opinion, which stakeholders are in favour of, or oppose, the types of reforms that could resolve the problem area?

Roles, responsibilities and accountability of the interviewee:

- What are the roles and responsibilities of the interviewee in relation to the problem area?
- Who is the interviewee answerable to regarding these roles? Formally? Informally?
- How is the interviewee monitored in these roles?
- What types of support does the interviewee receive to assist them in fulfilling these roles?
- What challenges does the interviewee face in fulfilling their duties in relation to the problem area?
 - Conflicting priorities?
 - Lack of information (particularly where the role of the interviewee is management)?
 - Lack of support from other stakeholders?
 - Failure of other stakeholders to coordinate/take action?
 - Lack of resources (e.g. financing, personnel, time, training, information, context)?

Potential for change and influential stakeholders:

- What types of support or changes would enable the interviewee to better fulfill their duties (e.g. legislation, increased resources, training, actions from other stakeholders)?
- Which stakeholders are responsible for these types of decisions? What, in the interviewee's opinion, prevents these stakeholders from acting on these issues?
- Are there other stakeholders that they should be/are working with on the problem area? What allows/prevents them from doing so?
- Which stakeholders could help to improve coordination through providing support, resources, etc.? What, in the interviewee's opinion, prevents these stakeholders from doing so?

Context-specific issues and problem-solving venues:

- Have there been high-profile interventions on the problem area in recent years (e.g. legislation, increased resources, new policy initiatives or programs, actions from politicians)?
- Which stakeholders were involved in these actions? What motivated them?
- How effective were these interventions? What enabled/prevented them from having an impact on the problem area?
- In the interviewee's opinion, is the problem area considered to be an important issue, or one that politicians at the national or local level are held responsible for?
- In the interviewee's opinion, what would (or does) motivate political leadership to make decisions to resolve the challenges identified around the problem area?
- Are there venues in which a program or intervention to resolve the problem area could be created or contested (e.g. legislative, regulation, decree, spending allocations; national/sub-national body; public opinion)?

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CHAPTER 11

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EDUCATION SECTOR ANALYSIS
METHODOLOGICAL GUIDELINES

VOLUME 3

This present volume is the third in a series of education sector analysis (ESA) guidelines following two volumes published in 2014. The series provides methodologies and applied examples for diagnosing education systems and informing national education policies and plans. This volume proposes guidelines to strengthen national capacities in analyzing education systems in four areas: inclusive education system for children with disabilities, risk analysis for resilient education systems, functioning and effectiveness of the educational administration, and stakeholder mapping and problem-driven analysis (governance and political economy).

The present volume was prepared by experts from various backgrounds (including education, economics, sociology, political science and other social sciences) from UNESCO's International Institute for Educational Planning, UNICEF, the United Kingdom's Foreign, Commonwealth & Development Office and the Global Partnership for Education.



The 3 volumes of the guidelines are available at,
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